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## **Study on Coordination in Sustainable Forestry Development**

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This discussion paper is prepared by Center staff and collaborators. WRI takes responsibility for choosing the topic and guaranteeing authors and researchers freedom of inquiry. Unless otherwise stated, all the interpretations and findings are those of the authors.

## TABLE OF CONTENTS

### Acknowledgements

i.	<b>EXECUTIVE SUMMARY</b>	i
	1. Introduction	i
	2. Initiatives and frameworks	i
	3. National and regional impacts	iii
	4. Initiatives in other sectors	iv
	5. Issues	v
	6. Discussion and general recommendations	vi
	7. Conclusions and recommendations for the Forestry Advisers' Group	viii
	8. The feasibility of a new orientation	x
ii	<b>DEFINITIONS</b>	xii
iii	<b>ACRONYMS AND ABBREVIATIONS</b>	xii
1.	<b>INTRODUCTION</b>	1
1.1	<b>BACKGROUND</b>	1
1.2	<b>OBJECTIVES OF THE STUDY</b>	2
1.3	<b>STUDY METHODOLOGY</b>	2
2.	<b>FRAMEWORKS FOR COORDINATION IN THE FORESTRY SECTOR</b>	3
2.1	<b>INTERNATIONAL INITIATIVES</b>	3
2.1.1	National Conservation Strategies	3
2.1.2	Tropical Forestry Action Programme	3
2.1.3	National Environmental Action Plans	5
2.1.4	International Tropical Timber Agreement	7
2.1.5	New initiatives stemming from UNCED	8
2.1.6	Other initiatives	15
2.2	<b>NATIONAL EXPERIENCES</b>	18
2.2.1	Africa	18
2.2.2	Asia-Pacific	19
2.2.3	Latin America and the Caribbean	23
2.3	<b>SUBREGIONAL AND REGIONAL MECHANISMS</b>	25
2.3.1	Africa	26
2.3.2	Asia-Pacific	27
2.3.3	Latin America and the Caribbean	28
3.	<b>DONOR COORDINATION IN OTHER SECTORS</b>	30
3.1	<b>INTRODUCTION</b>	30
3.1.1	Participation	30
3.1.2	Objective setting	30
3.1.3	Competition for Resources	31
3.1.4	Information flows and decision making	31
3.1.5	Structures and methods for coordination	31

4.	KEY ISSUES AND POTENTIAL IMPROVEMENTS	33
4.1	OBJECTIVE AND PRINCIPLES	33
4.2	NATIONAL LEVEL	34
4.2.1	Key Issues	34
4.2.2	Potential improvements	35
4.3	SUBREGIONAL AND REGIONAL LEVELS	39
4.4	INTERNATIONAL LEVEL	41
4.4.1	Leadership	41
4.4.2	Coordination	41
4.4.3	Information management	42
4.4.4	Operational and financial support	42
4.4.5	Recommendations	43
5.	CONCLUSIONS AND RECOMMENDATIONS FOR THE FORESTRY ADVISERS' GROUP	44
5.1	INSTITUTIONAL AND INFORMAL ARRANGEMENTS	44
5.2	ROLE AND MANDATE OF THE TFAP FORESTRY ADVISERS' GROUP	45
5.3	FEASIBILITY OF A NEW ORIENTATION	47
5.3.1	Is it needed?	47
5.3.2	What would it look like?	48
5.3.3	Is it feasible?	50
6.	REFERENCES	51
7.	APPENDICES	55
7.1	Terms of reference	55
7.2	Questionnaires	59
7.3	Respondents to questionnaires	63
7.4	Persons interviewed by mission	65
7.5	Present role and mandate of TFAP Forestry Advisers' Group	70
7.6	Subregional and international support structures - a vision	72

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## **i. EXECUTIVE SUMMARY**

### **1 Introduction**

Planning and programming initiatives concerned with protection of the environment and the development and conservation of natural resources have proliferated in the developing world during the last fifteen years. The extent to which such initiatives have been mutually supportive or synergistic or have overburdened recipient countries is in question, as is whether coordination amongst donors and financiers has been stimulated or inhibited. Where, and the extent to which coordination is needed and can be improved has not been clearly defined. A study team was appointed by a task force struck from the TFAP Forestry Advisers' Group to examine these questions, and, specifically:

- 1) to identify improved institutional and informal arrangements and mechanisms for coordination at the international, regional and national levels;
- 2) to determine the feasibility of developing an updated doctrine for coordination in sustainable forestry development, based upon a review of existing concepts;
- 3) to update the role and mandate of the TFAP Forestry Advisers' Group.

This report assembles the findings and recommendations of the study team<sup>1</sup>. The first part of the report is devoted to an examination of the existing situation. This is followed by a definition of the critical issues, discussion and a series of recommendations which aim to guide and assist the Forestry Advisers' Group in determining future directions.

### **2 Initiatives and frameworks**

Short profiles of initiatives and frameworks which are directed at or include forest conservation and development are given. In these the principal spheres and objectives are outlined, and areas of success and weakness, particularly in relation to the objectives of this study, are indicated.

National Conservation Strategies have been prepared by about 60 countries. They aim to identify a country's most urgent conservation needs, and, through a nationally led approach, have given rise to policy change and a more thoughtfully directed use of the limited financial resources available for strict conservation purposes. Broader environmental and development issues are not addressed.

The Tropical Forestry Action Programme is the principal approach used by recipient countries (some 90 countries involved) to review planning and expenditure in the forestry sector and to identify areas in which international assistance is required. Following review and criticism, TFAP has developed a broadly participatory approach and structuring is more fully in the hands of the recipient country. Most programmes can still be criticised for inadequate attention to institutional capacity and policy issues, including

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<sup>1</sup> Based on desk studies, semi-structured interviews and an analysis of responses to questionnaires submitted to selected representatives of the recipient, donor and financial communities, and guided by discussion with members of the task force.

6

particularly the macroeconomic relevance of the forestry sector and the impact on forestry of policy and activities in the agricultural and other influential and affiliated sectors. The strong intention of donors to coordinate under the TFAP has waned with weakening political and public interest and the failure of the programme to serve fully the investment requirements of financial institutions (eg World Bank), or to develop a mutually (all partners) acceptable form of international governance. Nevertheless, TFAP remains vital to many forestry sectors. Interesting and valuable developments have included increased priority for forestry in a number of countries and the formation of active regional groupings of TFAP participants to address issues of mutual relevance and interest.

**National Environmental Action Plans** seek to expose the key environmental problems stemming from all the major economic and social sectors in a given country and to formulate a comprehensive national plan with corresponding solutions to the most critical problems over the short, medium and long term. Economic as well as social costs have been taken into consideration with varying degrees of detail, and investment programmes prepared. Limited public participation has been achieved in some countries, however, the process has tended to depend heavily upon foreign consultants. The recurrent problems associated with NEAPs are familiar ones: overlapping mandates among national institutions; unclear lines of authority; unrealistic goals for both planning and implementation phases; lack of institutional capacity; and weak linkage of NEAPs to existing or ongoing environmental plans (eg NCSs or NFAPs). NEAPs have come under increasing criticism since the issuance of the World Bank's Operational Directive 4.02 which requires that NEAPs, or similar national reports acceptable to the World Bank, be completed or well advanced for all IDA countries and initiated in all IBRD countries by June 1993 as a condition for receiving World Bank loans.

**The International Tropical Timber Agreement** is a commodity agreement signed in 1983 by the main producers and consumers of tropical timbers. The ITTA is currently being renegotiated. Positions in the negotiations are divided between consumer and producer groups over whether the agreement should be expanded to cover all internationally traded timbers, and whether a greater focus on trade issues, as is usual in other commodity agreements, would be beneficial. At the policy and planning level ITTO has made important contributions, including guidelines for the sustainable management of natural tropical forests which have been adopted as reference standards. At the national level, the majority of projects approved are concerned with forest management. There is concern that many of these are inadequately monitored and do not take sufficient account of social and environmental impacts. With the exception of Brazil and Cote d'Ivoire, all 23 ITTO producer members also subscribed to TFAP. Likewise, a majority of ITTO consumer members are also TFAP donors. There are several important interfaces between ITTO and TFAP: the basic objective of sustainability in forestry development is common to both, and both address many of the same sectoral issues. Stronger coordination and affiliation of ITTO activities with national plans and processes is desirable.

**New Initiatives Stemming from UNCED:** the Conventions on Biological Diversity and Climate Change were signed in June 1993 by over 150 nations at UNCED in Rio de Janeiro. Both have direct implications for both natural and man made forests. In addition, the UNCED conference approved the "Rio Declaration" consisting of 27 principles related to sustainable development; "Agenda 21"; the "Forest Principles"; and proposals to initiate negotiations to combat desertification and promote the development of small Island States. Newly defined mechanisms for implementation of these agreements include the Global Environmental Fund, Capacity 21 and National Sustainable Development Strategies.

a. The Global Environment Facility was launched in 1991 as a three year experiment to provide grants to enable certain developing countries to fulfil their obligations as signatories to the Biodiversity and Climate Conventions. Once the pilot phase is complete, GEF's importance as a financing mechanism will increase and it is currently undergoing a critical process of restructuring and replenishment. There is concern that operational mechanisms, including, particularly, coordination amongst the management agencies (UNDP, UNEP and World Bank), should be effective and responsive. There has been a rapid evolution towards institutional centralisation and control, with a corresponding dominance by the World Bank in shaping projects, programme formulation and implementation. Other areas that are being discussed

are: the integration and respect of the rights and concerns of affected communities; absence of public accountability; absence of systematic evaluation of past performance; no definition of, or methodology for, determining incremental costs; and the increased marginalisation of environmental issues by sectoral focus and definition instead of integration with socioeconomic policies and overall development assistance programmes.

b. **Capacity 21:** the critical role of the UN organisations is highlighted in the implementation of Agenda 21. UNDP is afforded the lead role for building national capacities in the developing countries to achieve sustainable development, and has launched a specific programme, **CAPACITY 21**, for this purpose. Under this programme, and initially to assist with delivery of TFAP, UNDP has proposed a more systematic and consistent approach to the support and management of national forestry programmes. The **Country Capacity for National Forest Programmes (CCNFP)** derives from the recommendations of the various TFAP evaluations, is widely supported by developing countries, and consistent with the Agenda 21 objective of strengthening national capacities.

c. **National Sustainable Development Strategies** are envisaged as comprehensive strategies for sustainable development at the national level to achieve economic, ecological and social objectives in a balanced and integrated manner. They are proposed as the framework for implementing Agenda 21, and setting sectoral and cross-sectoral goals and targets at the country level. NSDSs have not yet been prepared or implemented in any country, however, several studies have been commissioned by UN agencies and bilaterals to further define the concept.

The **Centre for International Forestry Research (CIFOR)** was established by the Consultative Group on International Agriculture Research (CGIAR) as a non-profit, autonomous scientific research organisation "to contribute to the sustained well-being of people in developing countries, particularly in the tropics, through strategic research and related activities in forest systems and forestry, and by promoting the transfer of resultant new, appropriate forest technologies for national development". It will support research in five key areas:

- 1) social sciences, economics, policy analysis and development;
- 2) conservation and management of natural forests;
- 3) rehabilitation of degraded and depleted forest lands;
- 4) utilisation and marketing of forest goods and services; and
- 5) research support, information services, development of human and institutional resources.

The **Forests for the Future Initiative** was launched by the USA in January 1993 and invites interested countries and organisations to join in partnerships to conserve and sustain forests of all types and calls upon all countries to double international assistance for forests. It is intended that FFI will build upon existing relationships and initiatives and will work through voluntary cooperation between mutually interested partnerships.

The **Forest Stewardship Council** was founded in March 1992 by an independent group of concerned environmental organisations. It is intended that the FSC will serve as an independent international body to encourage wise stewardship of the world's forests by setting principles and criteria for good forest management and offering a timber accreditation programme to verify environmental and social certification.

### **3 National and Regional impacts**

Brief sketches of national situations and of the development of regional approaches to coordination are given. In general, although development and conservation of forests is a high priority for many governments, the primary need of a majority of the countries visited by the study team is a much increased level of commitment towards improved



resource management, both nationally and internationally, together with a concentration of effort to prevent further environmental deterioration.

In Asia, despite the presence of planning mechanisms, serious depletion of the remaining forest resources continues, due to the widespread inability to meet the needs of the poor rural population. Schemes for management of natural resources need to be reoriented to become mutually reinforcing. Country capacity building and strengthened financial support should accompany renewed efforts.

In Africa, desertification and land degradation represent by far the most serious threat to development in many African countries. Plans in the region have focussed on the conservation of soil, water and productive land, and placed a high priority on food production and security. However, these efforts have not yet led to the necessary change in land use strategies. Lack of local capacity, weak institutions, the magnitude of the development problems and insufficient external financial support are among the major constraints to a coherent, effective and sustainable process of gradually improving living conditions. As a result, programmes such as TFAP or the NCS are often seen to be competing for scarce resources rather than catalyzing needed investments towards sustainable food production.

In Central and Latin America the TFAP is widely accepted as the mechanism for planning and financing forest resource development and conservation. A few countries have benefitted from other schemes, such as GEF and NEAPs, or have pioneered debt for nature swaps to finance forest and environmental conservation efforts. Although impressive examples of conservation measures, peoples' participation and policy reform, exist throughout the region, donors and financiers remain hesitant to meet national expectations they themselves helped to create.

Natural resources management in one country affects, and has implications for, neighbouring countries. The impact of national policies can be exported: a logging ban in one country may result in increased deforestation nearby as companies move their operations across borders. Watersheds do not follow national boundaries, nor do areas of conservation value. The need for subregional coordination is increasingly being met, both in governmental and independent sectors, although in many parts of the world the mechanisms are still weak.

#### **4     Initiatives in other sectors**

Many similar or congruent efforts have been noted in other (non forestry/environment) sectors, but few have ventured across such a broad field as have the above. Even fewer have attempted to coordinate all the main aid investment projects in one sector at the national level as TFAP has attempted. In a study of other sectors, few structures or forms of donor coordination which had not been tried or at least reviewed in some detail by TFAP were encountered. Nevertheless some interesting innovations are noted which may be useful in improving coordination for sustainable forestry development. For example, successful coordination has been achieved where objectives are narrow and well focussed eg smallpox control, locust control, or crime control, and some major information and

collaboration initiatives (eg the Water Decade) achieved a strong impact by getting a basic policy/strategy framework accepted operationally by a broad group of donors.

## **5 Issues**

Analysis of the existing approaches and frameworks led to identification of the following key issues:

### **a. The needs of the countries:**

- 1) *simplification and better coordination of international frameworks related to forests, environment and natural resources management and utilisation. This is necessary to avoid overburdening the limited national human and institutional resources and to decrease overlaps between the various planning and implementation frameworks. Existing frameworks should be used and improved on whenever possible;*
- 2) *increased, timely and flexible financial flows to implement the strategies and action plans in accordance with national priorities. In many countries there is a deep disillusionment in the weak commitment of the donor community to assist the countries in implementing their forestry programme. Also, donor or agency procedures are considered unnecessarily cumbersome and complex;*
- 3) *willingness of donors and international agencies to submit to national leadership, coordination and priorities;*
- 4) *assistance in capturing funds from international sources and funding mechanisms, both public and private (eg GEF, private sector, foundations);*
- 5) *assistance in developing human resources and transferring technology to lessen the long term dependence on external assistance;*
- 6) *assistance in developing operational mechanisms for public and private sector participation and for monitoring progress;*
- 7) *support for subregional dialogue and coordination mechanisms around issues of common interest.*

### **b. The needs of the donor and financing agencies:**

- 1) *a demonstrated and sustained political will and commitment by the national government;*
- 2) *credible sectoral policy framework, or an agreement concerning a process to arrive at a credible framework including any necessary reforms. The sectoral policy has to be in line with the macroeconomic policy and to identify the key intersectoral linkages. The same applies to the institutional framework in the sector and to the division of responsibilities between public and private sectors. The lack of policy analysis and reform is considered by many donors or financing agencies as the key constraint to the sustainability of aid;*
- 3) *priorities as identified by host country government;*
- 4) *an established mechanism for policy dialogue and operational coordination, including the identification and formulation of projects and programmes adapted to the requirements of the particular agencies;*

- 5) *transparency in the processes and mechanisms, and a possibility for non-governmental participation. Identification of conflicts of interest between various groups in the society.*

## **6 Discussion and general recommendations**

The objective of coordination is to increase the effectiveness and efficiency of the external assistance needed to achieve sustainable national forestry development.

The principles for coordination are clearly defined in, for example, the UNCED decisions or in the Independent Review of TFAP. These are:

- 1) *the sovereignty of a country over the use of its natural resources;*
- 2) *country leadership and country driven development; and*
- 3) *external assistance based on national priorities, plans and programmes.*

Any structure or mechanism which is established for sectoral aid coordination must be compatible with these.

### **a. The National Level**

A model for sustainable forestry development in any country should include the following elements:

- 1) *an adequate policy framework including the harmonisation of forest policies and legislation with those of the closely related sectors, such as land use, agriculture, industries, trade etc;*
- 2) *based on the policy framework, a strategy and an action plan for its implementation, as well as mechanisms to monitor the development of the sector and the impact of actions;*
- 3) *the roles and mandates of the different institutions, public and private, clearly defined and realistic in terms of their capacities;*
- 4) *participatory mechanisms (institutional, financial etc) to facilitate NGO and private sector participation, at all levels (national, subnational and local);*
- 5) *the necessary human and financial resources to implement the strategy and action plan.*

The efforts of the donor community should be directed to enable the countries to develop and implement this model *ie* to put in place a national forestry programme.

To achieve this, the study team recommends that coordination and harmonisation of all sectoral and more general development frameworks or strategies should happen at the country level and be country led. What is often lacking is a country specific arrangement that allows for a two way policy dialogue at a sufficiently high level between forestry and related sectors to assess impacts of policies. Experience in some countries demonstrates that inter-sectoral Steering Committees under broader planning frameworks have been more effective in addressing critical issues. Donors and financiers should assist governments to:

- 1) *conduct a needs assessment prior to supporting any national planning exercise to define the most appropriate framework for forestry development;*
- 2) *identify the key stakeholders and their potential contribution to developing and implementing a national forestry programme;*
- 3) *give particular attention to policy issues;*
- 4) *prepare an analysis of the financial and technical resources available from different sources to develop an effective funding strategy;*
- 5) *separate policy and planning from fund raising responsibilities.*

International partners must accept the principle of country led coordination and direct their efforts to strengthen the national capacity to do so. Separate responsibilities for policy dialogue and operational coordination are needed. Policy coordination is needed for:

- 1) *establishing a policy dialogue with key stakeholders - both national and international - to identify conflicts of interest and major policy failures which have a negative impact on forests, and options for their resolution;*
- 2) *establishing and maintaining the mechanisms needed to sustain this dialogue; and*
- 3) *generating the analysis and disseminating the information needed to inform dialogue.*

Operational coordination is needed for:

- 1) *informing donors and investors of the policy framework, strategy, action plan and potential investments of the national forestry programme;*
- 2) *acting as an ombudsman to ensure that actions are compatible with the national forestry programme;*
- 3) *achieving a division of responsibilities based upon the comparative strengths of the various partners, and thereby maximising the impact of investments and minimising bureaucracy;*
- 4) *informing the national authorities of donors' and investors' policies, preferences and available resources; and*
- 5) *reporting to all partners about the status of the sector and the impact of joint efforts based upon agreed criteria (ie standards and indicators).*

#### **b. Subregional and regional levels**

Countries which share similar social, cultural, economic, political, or ecological conditions and challenges are increasing their interaction to advance national interests and expertise, and to develop unified negotiating positions in global arenas. Certain subregional groupings, such as of NFAP coordinators, have demonstrated that group analysis of common challenges may be more objective and less antagonistic than purely national or international debates. The study team recommends that the international community:

- 1) *create operational partnerships with subregional and/or thematic groups to develop common approaches and mechanisms to support national forestry programmes;*

- 2) *use formal mechanisms to bring forestry issues onto the agenda of policy makers in the broader context of conservation, trade and socioeconomic development to raise the status of the sector in the national political agenda; and*
- 3) *convene and/or support ad hoc meetings, at both political and technical levels, around well defined issues of common interest to several countries and the international community.*

### **c. The International Level**

Donor coordination in the forestry sector is better developed than in most other sectors. However, the solidarity and momentum generated by the TFAP is eroding, and agencies are returning to a more independent approach. The minimum requirements from the international level to support sustainable forestry development at the national and (sub)regional levels in a cost-effective manner are: leadership, coordination, information management, and operational, technical and financial support. The study team considers that action should be taken to:

- 1) *clarify the roles of international institutions to (re)establish the leadership required to resolve the international crisis over forests. Investigate the feasibility and seek consensus for an effective division of labour and responsibilities for establishing a mechanism of shared leadership acceptable to all partners. Post UNCED bodies charged with addressing global forest issues should make this a priority item;*
- 2) *decentralise decisions on aid flows to allow for greater integration or complementarity of available national and international financing mechanisms. Strengthen UNDP to facilitate consensus building among partners in the preparation and implementation of national forestry programmes;*
- 3) *strengthen national and subregional centres for information management for efficient and accurate monitoring of forest resources. Strengthen FAO to provide satellite data and training to national and regional centres of excellence, and to compile and disseminate information on global forest trends;*
- 4) *simplify agency procedures, mechanisms and processes for aid delivery to enhance efficiency and effectiveness at the national level. Establish checks and balances to ensure transparency and accountability of resource transfers;*
- 5) *provide capacity building through the rapid deployment of the Capacity 21 programme for the forestry sector;*
- 6) *assess the need for continued centralised operational support (TFAP CU) for national forestry programmes. This may be needed to ensure that countries which now rely on the TFAP CU are not left without adequate support before new mechanisms are established;*
- 7) *provide funding for innovative approaches with the potential to rekindle momentum and inspiration, particularly those which enhance dialogue, produce tangible results and sustain support to national forestry programmes.*

### **7 Conclusions and recommendations for the Forestry Advisers' Group**

Developing countries are overstretched by the various interrelated, often overlapping and uncoordinated, international initiatives concerned with natural resources planning and management. As a consequence, the effectiveness of all these initiatives is diminished.

Contrary to intention, national capacity is weakened by the creation of institutional overlap and heavy burdens on limited human resources. Too often, these initiatives reflect more strongly the concerns of international agencies than national needs and priorities. This stands in stark contrast with UNCED principles and with the basic tenet of foreign aid in the forestry sector, that development must build local capacity, be country driven and be based on national plans and programmes.

The post UNCED negotiations to define formal structures for more efficient and effective coordination of the international community are likely to be prolonged and formidable. Thus, efforts to establish clear mandates, lines of responsibility, and procedures to streamline existing coordination mechanisms, are hindered among the major international agencies. Informal arrangements that foster direct collaboration between partners are a promising way to sustain forestry development activities. Subregional mechanisms, built upon well defined issues of common interest and joint action, are emerging as promising fora to forge practical partnerships. In addition, thematic groupings amongst those sharing similar ecological or sociopolitical conditions provide useful opportunities for partners to agree upon approaches, and to mobilise resources for action.

The study team therefore recommends that the Forestry Advisers' Group:

- 1) *strengthen, and help consolidate existing and emerging subregional and thematic groups so that they may identify and agree on common approaches to critical issues of sustainable forestry development;*
- 2) *make use of these fora as a vehicle to form operational partnerships between interested parties to address sustainable forestry issues in specific countries;*
- 3) *support subregional and thematic meetings and seminars of policy makers and influential representatives from the private sector and NGOs to develop, disseminate and promote the application of analytical approaches and policy recommendations;*
- 4) *make the results of these efforts available to all interested parties, including any entity emerging from the UNCED process and charged with leadership for international forestry development and coordination;*
- 5) *solicit feedback on this study from developing country representatives before embarking on this process.*

To respond to all these critical needs, the future role and mandate of the Forestry Adviser's Group should be to:

- 1) *broaden its focus to include whatever frameworks are jointly agreed to with countries for developing national forestry programmes;*
- 2) *expand its scope of work to include all developing countries, as defined by the UN system;*
- 3) *continue and intensify support to national forestry programmes, focussing on the development of adequate policy frameworks, coherent strategies, institutional structures, priority plans of action, and particularly facilitating financial flows. In this respect, the Forestry Advisers' Group should proclaim its commitment to national forestry programmes.*

The Forestry Advisers' Group should:

- 1) *expand its membership to include representatives from the developing world, selected on the basis of their knowledge and influence within their respective communities, drawing from the private as well as public sectors. These individuals should be drawn from the sub-regional or thematic bodies with whom the Forestry Advisers' Group interacts;*
- 2) *strengthen linkages with other disciplines and sectors by asking Forestry Advisers' Group members to represent the Group's views in their personal capacity at relevant gatherings, or by inviting representatives from other disciplines or sectors to attend the Forestry Advisers' Group's meetings;*

and should

- 3) *establish a permanent secretariat to provide support services.*

#### **8 The feasibility of a new orientation**

The bottom line for world forestry is that the processes of deforestation and environmental degradation continue unabated. This is clearly indicated, for example, by the FAO's world forest resources assessment, and is despite the NFAPs, FMPs, NCSs, NEAPs and all the other sectoral and cross-sectoral frameworks and development efforts. Some of the more easily identifiable reasons for this are:

- 1) *lack of impact on other sectors and policies, and on areas of human activity which continue to promote deforestation and forest degradation;*
- 2) *failure to define and implement effective and efficient forest sector policies and institutional frameworks for sustainable forestry development and forest conservation;*
- 3) *failure to secure participation of local people on the massive scale which is needed to influence forest related activities. This in turn is closely related to the failure at the policy level to establish incentives to make sustainable forestry and forest conservation viable land use options for local people.*

Changes at the international level which will have a strong influence on future efforts towards sustainable forestry development and forest conservation include UNCED, the Geneva Consensus Statement, the renegotiation of the ITTA, and recent political and economic changes, including the increasing democratisation of many countries.

All these issues indicate a need for a new orientation in international forestry. This would seek to provide an effective and efficient common framework for action and would likely address:

- 1) *the need to strike a balance between the local, national and global objectives of forestry development and conservation, including the definition of compensation mechanisms between the various levels;*

- 2) *the need for all development efforts to be country led, specific to local environmental and socioeconomic conditions, and based on the needs and priorities of the affected populations;*
- 3) *the need for national forestry programmes to be based on a sound policy and institutional framework, clearly defined roles of the public and private sectors and participatory mechanisms which secure transparency and respect for human rights;*
- 4) *the need for increased and better targeted financial flows to forestry development and forest conservation;*
- 5) *the needs for and benefits of using subregional and thematic fora to resolve problems common to a group of countries, or to find solutions where the actions of one country have an impact on others.*

Consequently, a new orientation for international forestry development would be global in scope; driven by the efforts of the countries; based on a sound understanding of the linkages between forests, forestry and other spheres of human activity; and able to generate new funding. In the team's opinion there would be a considerable benefit in developing more specific approaches between willing partners within subregional and thematic groupings of countries.

The team concludes that the development of a new orientation and the definition of essential support structures to enable it to function is both necessary and feasible. This task should be the principal concern of the World Commission on Forests and Sustainable Development, and of any other post UNCED high level bodies dealing with forests and forestry.



## ii. DEFINITIONS

**Coordination** is the bringing of parts of the system into proper relation in order to achieve an objective. **Cooperation** is production or distribution by parties who share the benefits between them. **Collaboration** is the act of working together (definitions derived from The Pocket Oxford Dictionary of Current English, 1969, Oxford:Clarendon Press). For the purposes of this study, cooperation and collaboration among the various parts of the system are essential ingredients of coordination.

**National forestry programme:** a country specific sectoral framework which includes, at a minimum, a policy framework for the forestry sector, a strategy for its implementation, and a (rolling) short term action plan with clear objectives, priorities, time lines and budgets.

## iii. ACRONYMS AND ABBREVIATIONS

AsDB	Asian Development Bank
AfDB	African Development Bank
ASEAN	Association of South East Asian Nations
CARICOM	Caribbean Community and Common Market
CCAD	Central American Commission on Environment & Development
CCPF	(UNDP) Country Capacity Programme for Forestry
CDASED	Committee Donor Agencies: Small Enterprise Development
CFDT	Committee on Forestry Development in the Tropics
CGIAR	Consultative Group on International Agricultural Research
CIDA	Canadian International Development Agency
CIFOR	Centre for International Forestry Research
CILSS	Inter-governmental Committee on Drought Control in the Sahel
COFO	Committee on Forestry
CSA	Core Support Agency
ECLA	Economic Commission for Latin America and the Caribbean
ECOWAS	Economic Community of West African States
EIA	Environmental Impact Assessment
ESMAP	Energy Sector Management Assistance Program
FAO	Food and Agriculture Organisation of the United Nations
FFI	Forest For the Future Initiative
FSC	Forest Stewardship Council
FMP	Forestry Master Plan
GEF	Global Environmental Facility
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
IBRD	International Bank for Reconstruction and Development
IC	Implementation Committee
ICRAF	International Council for Research on Agroforestry
IDA	International Development Association
IDB	Inter-American Development Bank

IDRC	International Development Research Centre
IGADD	Intergovernmental Authority on Drought and Development
IIED	International Institute for Environment and Development
ITTA	International Tropical Timber Agreement
ITTC	International Tropical Timber Council
ITTO	International Tropical Timber Organisation
IUCN	International Union for Conservation of Nature and Natural Resources
IUFRO-	International Union of Forestry Research
SPDC	Organizations: Special Programme for Developing Countries
MPFD	Master Plan for Forestry Development (of the Asian Development Bank)
NCS	National Conservation Strategy
NCU	National Coordinating Unit
NEAP	National Environmental Action Plan
NFAP	National Forestry Action Plan
NLI	National Lead Institution
NSDS	National Sustainable Development Strategy
OAS	Organisation of American States
ODA	Overseas Development Administration
PRIF	Pre-Investment Facility
SADCC	Southern African Development Coordinating Conference
SC	Steering Committee
SIDA	Swedish International Development Authority
STAP	Scientific and Technical Advisory Panel
TFAP	Tropical Forestry Action Programme
TFAP FAG	TFAP Forestry Advisers' Group
TFAP CU	TFAP Coordinating Unit at FAO
UNCED	United Nations Conference on Environment and Development
UNCSD	United Nations Commission on Sustainable Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
USAID	United States Agency for International Development
USDA-FS	United States Department of Agriculture - Forest Service
WB	World Bank
WCS	World Conservation Strategy
WCFS	World Commission on Forests and Sustainable Development
WHO	World Health Organisation
WRI	World Resources Institute
WRM	World Rainforest Movement

## 1. INTRODUCTION

### 1.1 BACKGROUND

Since the late 1970s, more than 100 developing countries have completed or embarked upon multi-sectoral, national level environmental studies or plans; whilst over 250 major country environmental studies were published between 1987 and 1992 (WRI, IIED & IUCN, 1992). These publications span a wide assortment of profiles, strategies and action plans and are authored by national governments, international aid agencies and non governmental organizations (NGOs). The majority of studies are designed to promote sustainable development of a country's natural resource base by identifying and analysing key constraints, trends and indicators. Many, especially the most recent generation, prescribe solutions which aim to tackle such constraints through planning and policy making processes, project interventions and, particularly, institutional development and promotion of public participation. The recent United Nations Conference on Environment and Development (UNCED) has given additional stimulus to demand for national level strategic planning which would integrate environment and development aspirations. This will likely result in a further proliferation of studies and processes.

The Tropical Forestry Action Programme (TFAP) pioneered a systematic approach to preparing a development programme for a particular sector. However, since its inception in 1985, conditions have changed significantly and much has been learnt concerning the content, structure, procedures and problems associated with preparing country environmental plans and programmes. Several new international initiatives have been launched, including National Environmental Action Plans (NEAPs), ITTO's "Target 2000", the Global Environmental Facility (GEF), and UNDP's "CAPACITY 21" programme. These call for more holistic approaches towards programme planning and management, however, the concepts and methodologies for international coordination underlying these initiatives offer little improvement over those proposed by the TFAP and may, in respect of participation and transparency, be retrogressive.

Despite the progress of TFAP at country level, attempts at effective coordination have fallen short of expectations. The momentum created by TFAP is being lost, especially at the international level. The TFAP co-sponsors have been unable to reach agreement on how create a joint management structure which would inspire leadership and confidence. Development banks and some bilateral donor agencies are increasingly returning to independent approaches to development assistance. Meanwhile, the need for effective coordination continues to escalate at both the country and international levels. Developing country needs have been aggravated by the accelerating rate of natural resource depletion and degradation, and by declining foreign assistance budgets. A fresh look at existing relationships between the different planning and implementation frameworks and their corresponding mechanisms for coordination is urgently required.

## **1.2 OBJECTIVES OF THE STUDY**

In response to the situation described above, the TFAP Forestry Advisers' Group commissioned a study on coordination in sustainable forestry development. The study has the following objectives:

- 1) to identify improved institutional and informal arrangements and mechanisms for coordination at the international, regional and national levels;
- 2) to determine the feasibility of developing an updated doctrine for coordination in sustainable forestry development, based upon a review of existing concepts;
- 3) to update the role and mandate of the TFAP Forestry Advisers' Group.

Terms of Reference for the study are given in Appendix 7.1.

## **1.3 STUDY METHODOLOGY**

The study was carried out between November 1992 and April 1993 by a study team consisting of Messrs Tapani Oksanen, Matt Heering and Bruce Cabarle. The team was supervised by a Task Force from the Forestry Advisers' Group composed of Werner Hunziker (Swiss Development Corporation), Christian Mersmann (GTZ), Reidar Persson (SIDA), Tom Fox (WRI), Caroline Sargent (IIED) and chaired by Ralph Roberts (CIDA). Administrative, editorial and information support to the study team was provided by the International Institute for Environment and Development (IIED). The study was done in three phases:

- 1) a desk study to identify the scope, objectives and interfaces between the different international initiatives and the major actors involved. Particular emphasis was placed on donor approaches to coordination. For this purpose, questionnaires were sent to several developing country representatives, multilateral agencies and bilateral donors involved in the forestry sector (see Appendix 7.2). Respondents to the questionnaires are listed in Appendix 7.3.
- 2) country visits to follow up the desk study and to interview key developing country representatives and resident representatives of multi- and bilateral development agencies. A list of the persons interviewed is given in Appendix 7.4.
- 3) synthesis and analysis of responses to the questionnaire and interview results. Potential opportunities were identified and compiled by the Study Team and reviewed by the Task Force.

## **2. FRAMEWORKS FOR COORDINATION IN THE FORESTRY SECTOR**

In this section the present and emerging international frameworks for coordination (which, to our understanding includes cooperation and collaboration) which relate to the forestry sector are described, and the country level and regional experiences gained are analysed.

### **2.1 INTERNATIONAL INITIATIVES**

#### **2.1.1 National Conservation Strategies**

National Conservation Strategies (NCSs) were proposed by the International Union for the Conservation of Nature (IUCN), World Wide Fund for Nature (WWF) and United Nations Environment Programme (UNEP) when the World Conservation Strategy was launched in 1980. NCSs are intended to provide a framework for comprehensive cross-sectoral analysis of conservation and resource management issues, and as a mechanism to integrate environmental issues with national development processes. They aim to identify a country's most urgent environmental needs, stimulate national debate, raise public awareness, assist decision makers to set priorities and allocate limited human and financial resources, and to build the institutional capacity to address complex environmental issues. Over 60 countries have embarked on the NCS process and most NCSs have been strongly process oriented. Information and analysis is generated through the employment of multi-disciplinary and cross-sectoral working groups. NCSs have sought to develop political consensus around issues identified through such group interaction. The NCS approach has resulted in policy documents being approved by high levels of government and often, also, a set of project proposals. International leadership and promotion for NCSs has largely been provided by the international NGO community, led by IUCN, whilst a broad range of donors, including, notably, the Nordics, UNDP and CIDA, has provided support.

#### **2.1.2 Tropical Forestry Action Programme**

The Tropical Forestry Action Programme (TFAP) was launched in 1985 as a joint initiative by FAO, UNDP, the World Bank, WRI and two bilateral donors in response to public outcry over the escalating rate of tropical deforestation. FAO assumed the lead role for coordinating the effort at the international level. The TFAP's initial goals were threefold: to curb tropical deforestation; to promote the sustainable use and conservation of forest resources to meet local and national needs; and to increase the flow of international aid to the forestry sector. The TFAP became a target of criticism as deforestation rates continued unabated and participants' expectations for policy reform and increased financial flows were not met. Several evaluations were launched in 1990, and indicated a need, now partially met, for more emphasis on environmental protection, the effective participation of local people, multi-sectoral analysis and a shift in the TFAP's focus from being "donor driven" and "project oriented" to a longer term programme which would be "country driven" and "process oriented" (Colchester and Lohman, 1990; Ullsten *et al*, 1990; Winterbottom, 1990). However, an adequate reform of the TFAP's

governance, management, and contents has yet to be defined or introduced to the satisfaction of its various partners.

Although there is a continued high demand for assistance through the TFAP framework from developing countries, political and financial support for the TFAP is still waning.

National Forestry Action Plans (NFAPs) are the country-level expression of the TFAP. NFAPs are prepared and implemented by national Governments, normally with the assistance of one or more external donors and/or international NGOs. The participation of national NGOs, and the private sector has been increasingly encouraged. NFAPs are built around a sector review process, which ideally produces a long term strategy, a policy framework, and a short term action plan with priority project profiles.

By the end of 1992, some 90 developing countries were active partners in the TFAP: 38 in Africa, 20 in Asia/Pacific and 32 in Latin America and the Caribbean. NFAP planning exercises had been completed in 28 countries; sector reviews were completed and implementation started in 8, sector reviews underway in 40; and donor assistance to initiate the NFAP process had been requested by a further 14 countries. In addition, preparation for several subregional exercises had begun: 3 in Africa (IGADD, SADCC, and CILSS), and 2 in Latin America (CARICOM and Central America). Precise figures are not available for the amounts of national and donor funding directly related to TFAP/NFAPs. However, according to FAO figures issued in 1990, the total amount of donor financing dedicated to tropical forestry increased from US\$ 400 million in 1985 to US\$ 1.3 billion in 1990 (CFDT, 1990).

At the national level, most NFAPs are managed by a National Coordinating Unit (NCU), usually located within a line ministry for the natural resources, agriculture or forestry sector, or the ministry of planning. The ministry of planning and/or finance may also be the National Lead Institution (NLI). Strategic guidance is provided by a Steering Committee (SC), which seeks to promote broad and cross-sectoral participation, including that of national NGOs and the private sector, and to influence high political levels within the government - notably the ministries of planning and/or finance - to facilitate policy and institutional reform processes. NFAPs, in most cases, are supported by a Core Support Agency (CSA) selected from among the international aid agencies active in the country. Other donors may provide inputs in their particular areas of interest. Donor coordination at the country level is assisted through a sequence of round table meetings. These aim to promote national and international coordination at critical stages of the planning process.

At the international level, NFAPs are supported by a TFAP Coordinating Unit (TFAP CU) based in FAO's Forestry Department in Rome. The TFAP CU is run as an FAO trust fund project, and assisted with regular programme funding. It receives advice and technical input from an informal grouping of concerned donors, multilateral agencies and international NGOs, the TFAP Forestry Advisers' Group (Forestry Advisers' Group). The TFAP CU and the Forestry Advisers' Group have played a central role in stimulating momentum, and in providing essential coordination and assistance to partners.

Agreement has not yet been reached on the establishment of an independent, transparent, and participatory consultative forum, which was recommended by the independent review as an adjunct to FAO's assumed governance role (Ullsten *et al*, 1990; above).

At the regional and subregional levels, cooperative structures have recently been initiated by developing countries to promote horizontal collaboration between NFAPs. Notable progress has been made in this respect among Latin American countries, especially within the Central American subregion, with the support of a few bilateral donors.

Major criticisms of TFAP/NFAP have been concerned with the absence of policy and institutional reform, and of development of cross sectoral linkages. There had been little generation of new information or analysis, limited participation of different sectors of society, and too much emphasis on long project "shopping" lists (*eg* Sargent, 1990; Winterbottom, 1990). In addition, the NFAP process has been considered, in many countries, to be too driven by donor defined needs, processes and desires. In retrospect, much of this criticism may have been inevitable given the evolution of NFAPs from a fairly narrow, sectoral planning exercise towards a process that seeks to address the root causes of deforestation. The criticism also reflected the varying perceptions of national sovereignty over the use of natural resources versus the growing international demands for democracy, equity and global environmental management.

In response to these criticisms, FAO's TFAP CU issued new and improved NFAP Operational Principles in 1992, and UNDP has initiated a funding mechanism for more systematic human resource and institutional development through implementation of the Country Capacity Programme for Forestry (CCPF; below). The extent to which these will be effective cannot yet be judged.

Other major challenges remaining include eroding interest and political momentum, especially in some donor countries, for support to either NFAPs or the TFAP CU. This is thought to be due to the lack of measurable achievements, as well as the inability of the international partners to achieve consensus regarding governance and support mechanisms.

The strengths of the NFAPs continue to be their widespread adoption as the principal planning and implementation framework for the forestry sector by an overwhelming number of developing countries, and the experience accumulated over the years regarding the operational and political aspects of mobilising an international response to the global deforestation crisis.

### 2.1.3 National Environmental Action Plans

National Environmental Action Plans (NEAPs) were initiated in 1987 with support from the World Bank in the African countries of Madagascar, Mauritius, Lesotho and the Seychelles. In general, the scope is broader and the approach more integrated than found in NCSs or the single sector focus of NFAPs, although NEAPs tend to have been driven by an external interest (World Bank) to a greater extent than other processes. NEAPs seek to expose the key environmental problems stemming from all the major economic

and social sectors in a given country. Their coverage can range from wildlife protection in rural areas to industrial pollution controls and monitoring in major urban centres. NEAPs attempt to formulate a comprehensive national plan with corresponding solutions to the most critical problems over the short, medium and long term. Economic as well as social costs have been taken into consideration with varying degrees of detail, and investment programmes prepared. Some 20 African and 4 Latin American countries now have NEAPs in various stages of preparation and implementation. In Asia a number of studies are being undertaken. As of June, 1991, NEAPs had been approved for implementation in Burkina Faso, Ghana, Rwanda and the Seychelles (Talbot, 1992; World Bank, 1991).

At the national level, host country institutions - usually the ministry of planning - have the primary responsibility for overseeing an NEAP process. Most governments have chosen a three tier organisational structure similar to that developed by NCSs: a policy level steering committee; an executive secretariat; and various task forces or working groups to address specific issues. Limited public participation has been achieved in some countries, however, the process has tended to depend heavily upon foreign consultants and World Bank deadlines as opposed to timing to suit national processes and goals. The World Bank has provided significant technical and financial assistance to most NEAPs, although in many countries, bilateral agencies have shared lead responsibility with the World Bank. An international secretariat, financed by USAID and housed at the World Bank, handles many of the international coordination needs.

An informal consultative group consisting of African experts and interested donors has met annually since 1990 as the Club of Dublin to review progress, key issues and coordination needs. This is now known as the Regional Facility for the Environment and is handling administrative as well as technical and professional issues. Among the key issues and concerns which NEAPs have sought to address have been integration into a country's macroeconomic framework; the structuring of national environmental institutions; the development of public participation, training, communication and awareness; financing; and ensuring accountability, monitoring and evaluation. The Regional Facility for the Environment is served by a secretariat housed within the African Development Bank and staffed by African professionals.

The recurrent problems associated with NEAPs are familiar ones: overlapping mandates among national institutions; unclear lines of authority; unrealistic goals for both planning and implementation phases of the key NEAP institutional bodies; lack of public participation; and weak linkage of NEAPs to existing or ongoing environmental plans (eg NCSs or NFAPs). NEAPs have come under increasing criticism since the issuance of the World Bank's Operational Directive 4.02 which requires that NEAPs, or similar national reports acceptable to the World Bank, be completed or well advanced for all IDA countries and initiated in all IBRD countries, by June 1993, as a condition for receiving World Bank loans.



#### 2.1.4 International Tropical Timber Agreement

The International Tropical Timber Agreement (ITTA) is a commodity agreement signed in 1983 by the main producers and consumers of tropical timbers. The ITTA is currently being renegotiated. Positions in the negotiations are divided between consumer and producer groups over the expansion of the ITTA to cover all internationally traded timbers (not just tropical timbers), and over a greater focus on trade issues as is usual in other commodity agreements (Bass *et al*, 1992).

The International Tropical Timber Council (ITTC) is ITTA's highest political authority. Each signatory country has a representative on the ITTC. The ITTC adopts rules and regulations, sets priorities and approves all funding decisions. ITTC delegates are largely career staff from foreign affairs and trade ministries, not natural resource or development practitioners. The producer and consumer countries, as groups, have an equal number of votes.

The International Tropical Timber Organization (ITTO) is the ITTC's secretariat, and was established in 1986. The ITTO's four principal areas are market intelligence and economic information, reforestation and forest management, value added processing of tropical timber in producing countries, and research and development. The ITTC has agreed a target to ensure that all (non coniferous) tropical timber entering international trade will be derived from sustainably managed forests by the year 2000. ITTO has three Permanent Committees: Economic Information and Market Intelligence; Reforestation and Forest Management; and Forest Industry.

At the policy and planning level ITTO has made important contributions. Amongst these are:

- 1) the ITTO Action Plan which includes the criteria and priority areas for programme development for each of the three Permanent Committees; and
- 2) guidelines for the sustainable management of natural tropical forests, which have been adopted as reference standards and codes of best practice. However, the guidelines indicate areas which require attention together with desirable actions, but are not prescriptive at the national level. Some countries are refining the guidelines to suit national conditions.

Critical policy work on social and economic incentives for improved forest management is ongoing, and methodologies for recording the condition and use of forests (Forest Resources Accounting) are being refined.

At the national level, projects (funded largely by Japan, the US and a limited number of European donors) focus on wood use, natural forest management, reforestation, harvesting, logging infrastructure, technical training and institutional strengthening. About 70% of the projects approved are concerned with forest management. The Permanent Committees are responsible for project screening, and are assisted by an Expert Panel. The ITTC adopted Project Work and Project Cycle Manuals in November 1992 to contribute to the development and implementation of better quality projects by

clarifying procedures and requirements. There is, however, concern that projects are inadequately monitored and do not take sufficient account of social and environmental impacts.

With the exception of Brazil and Cote d'Ivoire, all 23 ITTO producer members have also subscribed to TFAP. Likewise, a majority of ITTO consumer members are also TFAP donors. There are several important interfaces between ITTO and TFAP: the basic objective of sustainability in forestry development is common to both, and the NFAPs deal with many of the same sectoral issues that ITTO is trying to resolve, both through policy guidelines and through country level projects. Stronger coordination and affiliation with national plans and processes is desirable, and will be mutually beneficial (Sargent and Morrison, 1993).

### **2.1.5 New Initiatives Stemming from UNCED**

The Conventions on Biological Diversity and Climate Change were signed in June 1993 by over 150 nations at UNCED in Rio de Janeiro. Both have direct implications for both natural and man-made forests. In addition, the UNCED conference approved the "Rio Declaration" consisting of 27 principles related to sustainable development; "Agenda 21"; the "Forest Principles"; and proposals to initiate negotiations to combat desertification and promote the development of small Island States. All of these have direct or indirect consequences for, and linkages with, the forestry sector and its associated planning mechanisms.

#### **a. Biodiversity and Climate Change Conventions**

The Convention on Biodiversity promotes the conservation of biological diversity and the fair and equitable sharing of the benefits from the sustainable use of genetic resources. The Convention reaffirms the sovereign rights of states over the biological resources within their political boundaries, and the responsibilities for their conservation and sustainable development. Furthermore, it recognises the need for both in-situ and *ex situ* measures for the conservation of ecosystems and natural habitats, and for new and additional financing and access to relevant technologies. The Convention requires each signatory to develop national strategies, plans or programmes for the conservation and sustainable use of its biological diversity, and (as possible and appropriate) its integration with relevant sectoral and cross-sectoral plans, programmes and policies.

The UN Framework Convention on Climate Change aims to protect the global climate system for present and future generations by stabilising the emissions of greenhouse gas to the atmosphere at levels that would prevent dangerous anthropogenic interference to the global climate system. The time frame to achieve this is to allow for ecosystems to adapt naturally to climate change while ensuring that food production is not threatened and that economic development can proceed in a sustainable manner. The Convention signatories commit themselves to adopting national policies which both limit the emissions of greenhouse gases and protect and enhance greenhouse gas sinks and reservoirs. The linkages to forests and forestry principally relate to the role of forests and trees as carbon sinks. As a result, forests and forestry are repeatedly referred to in connection with the

transfer of technologies, and information on, and the sustainable management of, carbon sinks.

Both Conventions establish a Conference of the Parties as the supreme authorities for monitoring and reviewing their respective implementation. Each Conference will eventually have a secretariat, subsidiary bodies for scientific and technological advice, implementation, and a financial mechanism for project funding (to be entrusted to one or more of the existing international entities). In the interim, while the corresponding institutional structures are being formalised, UNEP is to serve as the secretariat and GEF as the financing mechanism for both Conventions. The Conventions do not include any specific measures or institutional arrangements for their implementation at the national level. They will have to rely, therefore, on existing planning and implementation frameworks, notably NCSs, NFAPs, NEAPs, and other established mechanisms. The key interfaces for forests are related to the planning and implementation of programmes and projects related to reforestation, afforestation, forest protection and conservation, and the establishment of monitoring and information systems. There are also important linkages to ITTO's mandate to promote sustainable management of tropical forests and to establish monitoring and information systems.

b. Global Environment Facility

The Global Environment Facility (GEF) was launched in 1991 as a three year experiment to provide grants to developing countries to enable them to fulfil their obligations under the Biodiversity and Climate Conventions *ie* for investment projects, technical assistance, research and monitoring, and to undertake activities to help protect the global environment. The GEF focusses on four components of the global environment:

- 1) global climate change, particularly the emissions and sinks of greenhouse gases;
- 2) protection of international waters;
- 3) conservation of biological diversity; and
- 4) ozone layer protection.

The GEF is jointly managed by three agencies: UNDP; UNEP; and the World Bank. The World Bank's Environmental Department Director currently serves as the GEF Chairman. The World Bank also houses the GEF Secretariat and is responsible for investment projects. UNDP is responsible for providing technical assistance as well as the management of a special small grants programme for NGOs. UNDP also administers the Pre-Investment Facility (PRIF). UNEP supports the GEF secretariat with a Scientific and Technical Advisory Panel (STAP), an independent group of scientists from both northern and southern countries. The governing authority is the Participant's Assembly, composed of delegates from participating governments, which meets at least twice a year (4 times in 1993) to discuss policy and programme issues.

The GEF chairman coordinates the work programmes of the three participating agencies, and develops policy and strategy. Proposals for GEF projects are identified by recipient

governments, the World Bank, UNDP, UNEP as well as NGOs or private sector entities. Proposals must be endorsed by the recipient Government, with the exception of the NGO small-grants programme. An Implementation Committee (IC), made up of representatives of the three implementing agencies, reviews all project proposals and recommends a portfolio of projects to the Participant's Assembly for final approval. The IC considers balance between regions and the GEF's four thematic areas in addition to technical quality. Approved proposals are returned to the sponsoring agency for further preparation, appraisal, EIA and other requirements in accordance with the sponsoring agency's normal procedures. Standard procurement procedures and country level implementation arrangements are followed. Forest related projects are financed through GEF's climate change and biodiversity windows. Some of the projects selected for financing in tropical countries were partially or fully identified through NCS, TFAP, NEAP or ITTO processes.

As of September 1992, the GEF had pledges totalling US\$ 1.3 billion for the three year period ending in 1994. These funds are divided into the Global Environmental Trust Fund (US\$ 800 million), associated cofinancing agreements (some US\$ 300 million) and funds provided under the Montreal Protocol (another US\$ 200 million). Countries with a per capita income of less than US\$ 4,000 per year are eligible for GEF grants. Projects must benefit the global environment and require concessional funding in order to be economically viable. As of October 1992, some US\$ 182 million had been approved for 23 projects. A total of US\$ 581 million, roughly half of GEF's total resources, have been earmarked under its first three tranches (GEF, 1992). The disbursement of most GEF funds are linked to larger World Bank loans.

Although GEF is still in pilot phase, it is undergoing a process of restructuring and replenishment. Given its critical role in enabling signatories to the Climate and Biodiversity Conventions to seek assistance to address their global obligations, its importance as a financing mechanism for forest related projects will increase in the near future. There is therefore considerable concern that operational mechanisms, including, particularly, coordination amongst the management agencies (UNDP, UNEP and World Bank), should be effective and responsive. Amongst issues which have been identified of likely concern are GEF's rapid evolution towards institutional centralisation and control, with a corresponding dominance by the World Bank in shaping projects, programme formulation and implementation; integration and respect of the rights and concerns of affected communities; absence of public accountability; absence of systematic evaluation of past performance; no definition of, or methodology for, determining incremental costs; and the increased marginalisation of environmental issues by sectoral focus and definition instead of integration with socio-economic policies and overall development assistance programmes.

d. Agenda 21 and Forests

Agenda 21 - the action plan resulting from UNCED - establishes the broad framework for future actions related to forest development and conservation. Forest and forestry related issues are addressed by Chapter 11 (Combating Deforestation), and to a lesser degree Chapter 12 (Managing Fragile Ecosystems, Desertification and Drought), Chapter 14 (Sustainable Agriculture), and Chapter 16 (Biodiversity).

Chapter 11, on combatting deforestation, recognises the broad role of forests for maintaining a range of goods and services, minimising negative externalities associated with their production, distributing costs and benefits equitably and ensuring a contribution to sustainable development. Also, the multiple roles of forests and forest lands are stressed. Emphasis is placed on the national level, calling for all countries to formulate national strategies and plans for forests (along the lines of TFAP) linked to broader national planning frameworks, such as National Sustainable Development Strategies. National plans should be the basis for external financing and other assistance. Although Agenda 21 does not add new elements or more clearly defined priorities than those which have already been discussed in the context of the TFAP "revamping" process, it does emphasize once again the importance of forest policy, legislation, planning and strengthening of the national institutions as prerequisites for sustainable forestry development. At the international level, Agenda 21 notes the need to strengthen the coordination and improve the capacity and ability of intergovernmental organizations, such as FAO, ITTO, UNEP and UNESCO to provide technical support and guidance.

e. Capacity 21 and Country Capacity for National Forest Programmes

The critical role of the UN organisations is highlighted in the implementation of Agenda 21. UNDP is afforded the lead role for building national capacities in the developing countries to achieve sustainable development, and has launched a specific programme, Capacity 21, for this purpose.

Under this programme, and initially to assist with delivery of TFAP, UNDP has proposed a more systematic and consistent approach to the support and management of national forestry programmes. The Country Capacity for National Forest Programmes (CCNFP) derives from the recommendations of the various TFAP evaluations, is widely supported by developing countries, and consistent with the Agenda 21 objective of strengthening national capacities.

The CCNFP will be implemented at the country level by national governments. The underlying principles are:

- 1) participatory planning and implementation process;
- 2) multi-disciplinary and -sectoral approach;
- 3) national steering committee of key stakeholder groups;
- 4) building upon existing mechanisms and efforts.

A principal objective of any CCNFP project would be to establish and assist national steering committees to monitor and assess their activities.

At the international level, a UNDP managing committee of high level headquarters' staff and regional representatives would manage a proposed fund of US\$ 20 million per year. This would provide an average of US\$ 500,000 per year to 40 countries which wish to adopt global frameworks and access international cooperation.

The advantages of CCNFP are:

- 1) developing countries would have ready access to international support and choose their preferred delivery mechanism (bilateral or multilateral), investment and/or technical assistance channel;
- 2) donor countries would collectively send a clear signal and take decisive action to support national forestry programmes in the developing world in a consistent and organised manner;
- 3) criteria developed to govern the fund would establish accountable and transparent operational principles for all involved partners;
- 4) developing countries would have equal access to international support, according to national priorities and internationally agreed criteria.

Despite these redeeming characteristics, it still remains to be seen whether donors are willing to relinquish direct control over forestry assistance programmes and support a multilateral fund managed by UNDP and based on the the above premises.

e. National Sustainable Development Strategies

The NSDSs are envisaged as comprehensive strategies for sustainable development at the national level to achieve economic, ecological and social objectives in a balanced and integrated manner. They are proposed as the framework for implementing Agenda 21, and setting sectoral and cross-sectoral goals and targets at the country level. NSDSs have not yet been prepared or implemented in any country, however, several studies have been commissioned by UN agencies and bilaterals to further define the concept (see IIED, 1992).

Regional conferences in Asia and Africa (IUCN, 1992) have agreed that NSDSs should:

- 1) lead to policies, plans and commitments to action for sustainable development;
- 2) be developed through broad-based participatory fora;
- 3) build upon existing plans, strategies and profiles;
- 4) use an official framework but also capture non-official processes; and
- 5) should not be a rigid master plan or blueprint.

The outputs from an NSDS cannot be precisely foreseen from the outset. However, it should not be viewed as a "quick fix" for pressing environmental or development problems. An NSDS is envisaged as a continuous and adaptive assessment and planning process, not a one-time planning exercise with fixed objectives. It is also foreseen that some elements of the NSDSs will eventually be absorbed by other initiatives.

The above concept has a very strong national focus. It will not depend or rely on external governance. An NSDS concerns all sectors in its focus on environment and development. However, certain parallels can be drawn with the thinking that led to the concept of the "revamped" TFAP, particularly in terms of output. The NSDS framework has benefitted from the critical evaluations, discussions and evolution of ideas related to TFAP/NFAPs. The compatibility and complementarity between NSDSs and NFAPs is evident as NSDSs are evolving in certain countries (eg Papua New Guinea, Philippines).

f. The Forest Principles

The Forest Principles adopted at UNCED are a "non-legally binding authoritative statement of principles for a global consensus on the management, conservation and sustainable development of all types of forests". They indicate consensus on the global importance of forests, and it is important to note that they represent a political statement, not an operational document. The process followed to arrive at the Forest Principles also saw "forests" emerge as of major importance in the negotiations between developing and developed countries over increased aid flows, economic development, sovereignty and global environmental concerns and consumption patterns. Many southern countries are unwilling to relinquish their sovereign right and control over their forests, especially if their northern counterparts are willing neither to compensate the opportunity costs involved nor to commit themselves to reducing their disproportionate consumption of the world's energy and production of greenhouse gas emissions. The agreed Forest Principles recognise the sovereign rights of nations to use their forests according to their respective environmental policies as well as their inalienable right to use, manage and develop forest resources to meet national development priorities on a sustainable basis. Amongst the underlying concepts of the Principles are:

- 1) full incremental costs of sustainable forest conservation and management should be equitably shared by the international community;
- 2) provision of timely, reliable and accurate information on forest resources;
- 3) the participation of all interested parties in national forest policy formulation and implementation;
- 4) importance of all types of forests in the maintenance of ecological processes;
- 5) recognition and support of the identity, culture and rights of indigenous peoples;
- 6) sustainable production and consumption patterns, the eradication of poverty and food security;
- 7) "greening of the world" through afforestation, reforestation and forest conservation;
- 8) redressing external indebtedness and the replacement value of forests through improved market access;

- 9) the transfer of new and additional financial resources from the North to the South; and
- 10) non-discriminatory trade in forest products and removal of unilateral measures to restrict or ban their international trade.

Although the Forest Principles were a retreat from the G-7 proposed Forest Convention, they do not preclude the eventual negotiation of an international legal framework concerning forests. However, given past experience with international legal arrangements, it is unlikely that a Forest Convention would become operational before the end of this century.

g. Institutional Impacts

The UNCED recommendations were ratified by the 47th UN General Assembly in November 1992. All UN organisations were instructed to revise their programmes in accordance with Agenda 21. The UNCED recommendations, combined with economic and political pressures to streamline UN bureaucracy, are likely to lead to a fundamental restructuring to certain UN agencies, including UNDP, UNEP and FAO. A new body has been created, the "UN Commission on Sustainable Development" (UNCSD), to monitor progress towards the implementation of Agenda 21 and other UNCED (Rio) decisions. The Commission will be an intergovernmental body with 53 members, and will be linked to NGOs and the private sector, as well as to the scientific community. The UN General Assembly will monitor the implementation of the Rio decisions annually, and a special session for monitoring the implementation of Agenda 21 will be arranged by 1997.

Since UNCED, renewed attention has been given to the idea of establishing a World Forestry Organisation. This would aim to improve the status of forestry, act effectively to bring the global forest crisis under control, and enhance the development and conservation of forests as a self standing activity - supportive to but not dominated by agricultural considerations. Also an independent "World Commission on Forests and Sustainable Development" has been launched (Box 1) to advise on international institutional arrangements in the forestry sector and to advance forest issues as part of mainstream economic development.

A Steering Committee for a regional follow up to UNCED was formed in late 1992 at the behest of the heads of the principal multilateral development assistance agencies working in Latin America and the Caribbean. Recognising their responsibility to make a concerted effort in helping the region's governments to implement UNCED commitments, the Committee was charged with determining how best to proceed.

The Committee's initial constitution includes UNDP, UNEP, the World Bank, ECLA, IDB, OAS, SELA and IUCN, with OAS serving as the secretariat. The Committee has met twice, and endorsed the importance of dialogue and coordination as well as the avoidance of duplication in the use of the agencies' respective resources and efforts to implement Agenda 21. It is currently in the process of defining a *modus operandi*, membership, size, style and agenda.



#### **BOX 1: World Commission on Forests and Sustainable Development**

Neither the intensive debates over the world's forests prior to UNCED, nor the conference itself, resulted in an agreement of a global framework for action. Recognizing this, a group of high level politicians, chaired by Ambassador Ola Ullsten (former Prime Minister of Sweden) took the initiative to propose an independent "World Commission on Forests and Sustainable Development".

The Commission is intended to mobilise world wide political support for the sustainable development and conservation of all forests, develop a policy framework for effective action and identify necessary political, economic and social mechanisms at national and international levels. More specifically, it is intended that the Commission should marshal scientific information on the state of the world's forests and the consequences of the rapid changes now occurring, and examine a wide spectrum of issues related to land use practices, multiple forest use, and the causes of deforestation and forest degradation. It would assess the social, economic, political and ecological issues surrounding forests and development, and make practical proposals towards reforming international economic relations.

The Commission is expected to look at existing forms of international cooperation, including the role of UN agencies, and to propose means of increasing effectiveness.

Following endorsement of the proposal at the Global Forest Conference in Bandung in February 1993, and discussions in New Delhi (May 1993) the Commission is likely to be established shortly.

#### **2.1.6 Other Initiatives**

##### **a. Centre for International Forestry Research**

The Centre for International Forestry Research (CIFOR) was established by the Consultative Group on International Agriculture Research (CGIAR) as a non-profit, autonomous scientific research organisation "to contribute to the sustained well-being of people in developing countries, particularly in the tropics, through strategic research and related activities in forest systems and forestry, and by promoting the transfer of resultant new, appropriate forest technologies for national development". It will support research in five key areas:

- 1) social sciences, economics, policy analysis and development;
- 2) conservation and management of natural forests;
- 3) rehabilitation of degraded and depleted forest lands;
- 4) utilisation and marketing of forest goods and services; and
- 5) research support, information services, development of human and institutional resources.

CIFOR will pursue an ecosystem approach to its research and will concentrate on lowland tropics during its first five years.

CIFOR will be guided by a Board of Trustees composed of 15 people functioning in their personal capacity. The Board will be supported by an Advisory Panel which will help develop research policy and practice and a Technical Advisory Committee. The Board, Panel and Committee will be supported by a secretariat. Mechanisms are to be put in place to ensure adequate consultation with recognised institutional stakeholders. Research will be conducted primarily through partnerships among the CIGAR network of existing national forestry research centres, members of IUFRO's Special Programme for Developing Countries, and other leading research organisations and institutions. Under this arrangement, the International Council for Agroforestry Research (ICRAF), established in 1978, is afforded a global mandate for agroforestry research. To a lesser extent, the CIFOR secretariat itself will conduct some research. CIFOR will have an operational budget of US\$ 4.2 million for 1993. It is projected that this budget will increase to US\$ 7.6 million by 1998 and will fund a central team of seven senior staff and 16 outposted staff.

CIFOR will have an important role to play in strengthening research capacity in developing countries and generating the information needed for the success of all the above mentioned planning and programme initiatives.

b. Forests for the Future Initiative

Following announcement at UNCED, the USA launched the "Forest for the Future" Initiative (FFI) in January 1993 which invites interested countries and organisations to join in partnerships to conserve and sustain forests of all types and calls upon all countries to double international assistance for forests. The USA pledged US\$ 150 million for:

- 1) more integrated ecosystem management;
- 2) scientific research on tropical forests and biodiversity;
- 3) assisting local communities in forest resource management;
- 4) improving inventory and management of large forests;
- 5) measuring and enhancing storage of greenhouse gases in forests;
- 6) developing institutions that can attract private investment in forest conservation;  
and
- 7) reforesting degraded lands.

It is intended that FFI partnerships will build upon existing relationships and initiatives, such as the Brazil/G-7/World Bank "Pilot Program to conserve the Brazilian Rain Forest" and will work through voluntary cooperation between mutually interested countries, NGOs, private sector entities, local communities, researchers and others targeting specific

forest conservation activities. A set of multi-agency "cluster groups" has been established within the US government as an internal (national) mechanism for all agencies involved with forest conservation and management. Initially, partnerships are being formed with eight countries (Belize, Brazil, Ghana, Guatemala, Indonesia, Mexico, Papua New Guinea and Russia), and with two international organisations (ITTO and FAO). For FY 1993, a total of US\$ 16 million is allocated, whilst the Clinton administrations' new Vision for change allocates only US\$ 30 million for FY 1994 and US\$ 50 million for each of the subsequent four years.

The FFI is important because it signals the USA's recognition of the critical role of all forests, and marks a domestic commitment to an ecosystem approach to forest management. However, there is some disillusionment within the donor community that whilst the USA has called upon others to join this particular partnership, they have demonstrated reluctance to support certain other key international frameworks.

c. The Forest Stewardship Council

International forest initiatives are not the sole realm of the UN or national governments. Escalating public concern over deforestation and over harvesting has led consumers to demand that forest products purchases support sustainable forestry practices and do not contribute to forest destruction. In response to this demand, timber certification programmes have proliferated in Western Europe and North America. In March 1992, the Forest Stewardship Council (FSC) was conceived by a founding group of concerned environmental organisations, forest industries, community forestry operations, wood workers and forest products certification organisations. It is intended that the FSC will serve as an independent international body to encourage wise stewardship of the world's forests by setting principles and criteria for good forest management and offering a timber accreditation programme to verify environmental and social certification (FSC, 1992).

The FSC is being finalised by an interim board of seven members from diverse backgrounds. Draft concept papers on the FSC's principles, criteria and proposed aims and structure are being reviewed internationally. Several target consultative processes are planned in different countries to test the feasibility of the FSC. A general assembly is scheduled for late 1993 to approve a formal constitution.

Timber certification in general, and the FSC in particular face severe challenges, amongst which are:

- 1) an appreciable number of producers willing and able to subscribe to certification to influence wider industry practices;
- 2) market access and premium prices;
- 3) security of production units;
- 4) policy environment favorable for forestry in producer countries;
- 5) verifiable tracking system from source to market; and

- 6) a credible and capable institution to standardise certification principles and to set monitoring protocols.

Despite these hurdles, timber certification has captured the attention of government and private industry, and there is great potential in harnessing the resources of the free market to influence forest management. This potential may well surpass the influence and impact of official development assistance channels (Johnson and Cabarle, 1993).

## 2.2 NATIONAL EXPERIENCES

### 2.2.1 Africa

Desertification and land degradation represent by far the most serious threat to development in many African countries. Plans in the region have focussed on the conservation of soil, water and productive land, and placed a high priority on food production and security. However, these efforts have not yet led to the necessary change in land use strategies. Lack of local capacity, weak institutions, the magnitude of the development problems and insufficient external financial support are among the major constraints to a coherent, effective and sustainable process of gradually improving living conditions.

NCSs and other initiatives, including programmes for desertification control, have had little appreciable impact on meeting the region's massive food demand or on checking desertification. Insufficient financial and human resources have frustrated the efforts to make significant progress. NFAPs have drawn attention to the urgent need to use forests and trees to restore, conserve and develop agricultural production, but have not yet helped to increase local food supplies, nor have NEAPs yet had a major impact on stabilising environmental services. As a result, these programmes are often seen to be competing for scarce resources rather than catalysing essential investments towards sustainable food production.

Despite this grim generalisation, some countries offer examples of encouraging approaches and progress:

Cameroon: following criticism over the strong emphasis in the NFAP on the exploitation of primary forests, and the refusal of donors and banks to financially support the implementation of the plan, the approach to forest conservation and development was reviewed. The NFAP, now taking into consideration principles defined by the NCS, is in the process of implementation with the support of several donors.

Cote d'Ivoire: a Forestry Master Plan was prepared in 1988 and its implementation begun in 1990. Two important institutional changes have taken place, at least partly as a result of the FMP:

- 1) the Ministry of Waters and Forestry was dismantled and merged with the Ministry of Agriculture and Animal Resources, with considerable staff reduction; and

- 2) SODEFOR, a parastatal company was given responsibility for the management of the country's gazetted forests.

However, less progress has been achieved in other policy issues: forest product taxes are still not reflecting full economic values; log exports continue and industrial restructuring has mainly taken place through mill closures;

Ghana: prior to the Forest Sector Review, much of the international funding was for industry. Such funding may have stimulated private sector investment, but the extent to which this occurred is not known. Increased industrial investment led to overcapacity and to abuses of the forest resource which could not be adequately controlled by the Forest Department. The FSR led to the formulation of a multi-donor supported forest Resources Management Project. The FRMP has stimulated and assisted with the preparation of a new forest policy, based on a greatly improved knowledge of the resource and of forest management approaches. However, the capacity of the FD to implement this knowledge and to control forest use still requires strengthening (Box 2).

Senegal: consistently submits plans for natural resources management to inter ministerial councils and peoples' organisations, in order to integrate, to the extent possible, the relevant disciplines. Attention is also given to population issues, with assistance of UNFPA.

Tanzania: in view of the need to mobilise the population sufficiently to be able to address issues of environmental degradation and conservation of natural resources successfully, the decentralized approach of the NFAP is being extended to the village level. Already over 600 villages are engaged in a consultative process. Broad peoples' participation is seen as the only way to confront the widely critical natural resources situation. The NFAP, known as the Tanzania Forestry Action Plan, has been instrumental in developing a new forest policy proposal and in enhancing NGO and private sector participation.

Zaire: complementary environmental and forestry action plans have generated strong interest amongst donors and banks, with the result that, once the political situation is stabilised, the conservation and sustainable development of one of Africa's largest forest resources can be assisted according to an internationally agreed approach.

The primary need of all these countries is a much increased level of commitment towards improved resource management, both nationally and internationally, together with a concentration of effort to stop further environmental deterioration. To make this happen, the various schemes for management of natural resources need to be reoriented in order to make them mutually reinforcing. Country capacity building and strengthened financial support should accompany the renewed efforts.

### 2.2.2 Asia-Pacific

Asian-Pacific countries face serious environmental degradation due to poor forest and watershed management. This is partly a result of encroaching agriculture and inadequate land use planning and implementation, but is also consequent on weak control of logging and forestry practices, despite the very considerable knowledge and experience of forestry

## BOX 2 Ghana Case Study

Planning towards a National Conservation Strategy (NCS) in Ghana was subsumed by the Environmental Action Plan (EAP). This was begun in 1988, coordinated by the Environmental Protection Council (EPC) and sponsored by WB, ODA and DANIDA. A Forestry Sector Review was structured by the WB, ODA, CIDA and DANIDA in 1986. The review is considered to belong to the TFAP family, but has not put a planning framework or rolling planning mechanisms in place. Subsequent donors (eg GTZ, EEC, ITTO) have identified and developed independent work.

The EAP provides a new set of concepts for Ghana. There has previously been no formal governmental mechanisms for dealing with environmental issues, and it is therefore easy to identify achievements. An environmental policy has been introduced *de novo*, and a new line ministry, Environment, Science and Technology is in the process of formulation. The EAP has involved all relevant sectors in the preparation of the Ghana Environmental Resources Management Project (GERMP), which is supported by the sponsoring donors, GEF and an IDA loan. Work under the EAP with NGOs draws on the assistance of the Africa 2000 network (UNDP). The work has been given support and a budgetary allocation from central government. Small private sector grants from the oil industry have been made.

On the other hand, the Forestry Sector Review (FSR) has worked within existing policy, legislation and institutional constraints, and an entrenched political situation, both nationally and internationally. Consequently, the level of implementation achieved may be seen as significant. The FSR led to the formulation of the Forest Resources Management Project (FRMP), currently supported by WB, ODA and DANIDA, with coordination by the FAO-sponsored Policy and Project Monitoring and Evaluation Division (PPMED), housed within the Ministry of Lands and Forestry. A new forest policy is being prepared, and a number of institutional reforms have been mooted. The Forestry Commission is being reconstituted, its role and responsibilities are in the process of definition, and the legal and political position of the Commission in relation to the Ministry of Lands and Forests and other government and non government agencies is being determined. The process has received stimulus from the FRMP, and from WB loan conditionalities, but is politically timely and may well have occurred without international pressure.

The principal constraints to effective and coordinated delivery of international assistance in the forestry sector are of an institutional nature. Within the FRMP, frequent political changes have led to frequent changes in project administration. These difficulties are further compounded by the sense that international donors are not consistent in their requirements and conditionalities.

Ministries and other government bodies channel requests for external development assistance through the Ministry of Finance and Economic Planning. However, much of the work implemented is at the instigation of the donor rather than in response to a national plan or strategy. There are, at present, no formal institutional arrangements for the delivery of coordination of assistance within the forestry sector external to the FRMP. Assistance which passes through the multi donor FRMP is coordinated by a cross-sectoral Project Implementation Committee. Non governmental organisations are free to develop financing arrangements with external bodies without government restriction.

There are various attempts at coordination and networking amongst a wide range of environmental NGOs within the country, the majority of which have a primary focus on tree planting.

in the region. The claims on land by fast growing populations who need food, jobs, income, shelter and infrastructure, have posed serious problems in balancing the conservation and development of the remaining forests.

The Asian Development Bank recognized at an early stage the urgent need to increase efforts to reconcile forestry planning with the struggle of people for survival. Their Master Plan for Forestry Development (MPFD) approach, bringing together governments, the public and potential donors in a long term planning and participatory process, has generated innovative ideas and encouraging initial results.

The TFAP process, placing more emphasis on short term action while planning for the medium and long term, brought wider international support to the region. As a result, practically every country in the region has an MPFD or NFAP for preparing and implementing projects and programmes in the forestry sector, and some progress has been made in policy reform and the development of a cross-sectoral approach to forestry and land use issues (cf Indonesia, Vietnam, Papua New Guinea). NCSs and NEAPs have been prepared by a number of countries to address the broader issues of environmental degradation and protection. Indonesia, which pioneered in the field of cross-sectoral policy analysis in relation to forestry issues, is now building upon its NCS to prepare a National Biodiversity Conservation Action Plan.

Despite the presence of such planning mechanisms, serious depletion of the remaining forest resources continues, due largely to the inability to meet the needs of the poor rural population. Furthermore, rural people often have no say in the planning and implementation of projects designed to improve their living conditions. Land shortage, population pressure and severe soil erosion aggravate the situation to the extent that massive migration to the already overcrowded cities has become an additional very serious problem.

Nevertheless, the development and conservation of forests is amongst the highest priorities of many governments in the region:

Indonesia: in addition to the studies noted above, Indonesia has prepared an NFAP that is gaining donor support. There is a strong governmental commitment, including substantial national funding, to implement the plan, and, despite national NGO concern, there is stated recognition that conservation and development of forests must go hand in hand, that peoples' participation is an essential element of effective action, and that population issues are of critical importance to sustainable development;

Pakistan: Pakistan forest policy does not reflect the reality that most forest products come not from forest reserves, but from farm forests. Pakistan has one of the smallest natural forest endowments *per caput* of any country in the world, and farm forests are the most important source of both timber (50+ %) and fuelwood (80 %). However, forest policy still concentrates on the relatively small and isolated areas of natural forest in the northern mountains - important in the past for state revenue generation from timber - but policy does not support farm forestry. This is given only scant extension and marketing support. Yet potentially it could almost eliminate the high timber import bill.



Several recent policy initiatives in Pakistan have suggested revised government roles in sustainable forestry, but few major changes have been detailed or achieved. The National Conservation Strategy, finalised in 1991, has strong political backing, federally and provincially, and provincial strategies are now being prepared. It successfully demonstrates the social and ecological role of forests. The National Forest Policy 1991, a separate effort, calls for the doubling of forest area. This target is highly ambitious, but none the less reflects political commitment to major change. There is a considerable need for support to the Government to determine the most realistic options (public, community

### BOX 3: Pakistan Case Study

The Government of Pakistan has recently adopted the National Conservation Strategy (NCS) as the framework for future sustainable development activities. The preparation of a Forestry Master Plan (FMP) has been completed and a donor round table is foreseen to be held in June 1993. Originally there were no linkages between NCS and FMP, but due much to UNDP and IUCN, a consistent approach to natural resources development and conservation has been laid out, and the FMP now conforms with the NCS principles.

Recently the World Bank proposed to launch a National Environmental Action Plan (NEAP) for programming under the NCS. The Government has recognised this, and has expressed its intention to considerably increase national budgetary allocations in support of policy and institutional reform in the environment and forestry sector.

The FMP is the result of 4 years of planning activities and is considered by the Government as a reasonably good product. Others, however, feel that the FMP has failed as a process:

- there was very little people's participation: the FMP was prepared by a hired consultant, who worked in what was called "complete isolation" - somewhat corrected towards the end of the planning process.
- the NCS was not used from the beginning as the basis for forestry sector planning; also corrected.
- Government, donors and banks agreed only in early 1993 that one organisation, UNDP, should assist the Government to coordinate the various mechanisms for natural resources management.

The Ministries of Planning and Economic Affairs, together with the Inspector General of Forests provide the leadership for the FMP. NGOs are not represented in the interministerial Steering Committee. However, by participating informally in the preparation of the FMP, IUCN has strongly assisted the Government in developing a consistent approach. UNDP has played the role of consensus builder, and has established a donor advisory committee for the implementation of the FMP. The provincial forest services, having their mandated authority over the forestry sector in their respective provinces, are reluctantly but increasingly becoming institutional partners in the efforts. Provincial conservation strategies now under way, may provide a framework.

Coordination at the national level so far has been limited to consulting the provincial forest services and some private wood working industries. UNDP stands ready to assist the Government in harmonising the efforts of collaborating institutions and international partners. UNDP has taken the initiative to establish a donor advisory committee of the agencies supporting FMP: Canada, FAO, Germany, Japan, the Netherlands, Switzerland, WFP and UNDP. So far, in-country coordination among donors and with the banks (WB and ADB) has been sporadic, but recent discussions between the World Bank and ADB have led to their agreeing to be complementary, both banks accepting the NCS as reference framework and the FMP as the basis for forestry activities.



or private sector investment) for meeting the target; there is a presumption for government taking the lead. The Forestry Sector Master Plan is currently reviewing the course of forestry in Pakistan, and is suggesting likely needs. Again, it appears to have focussed on the government forest estate, and insufficiently treats community and private roles (Box 3).

Vietnam: has begun to move from a centrally planned to a market oriented economy, and is receiving increasing international financial and technical assistance for the development of the forestry sector. Sweden, Germany and Japan are major donors, whilst former communist block partners can provide little assistance at present. The NFAP, which has taken some four years to prepare, reflects the strong desire of the Government to use trees and forests to improve the living conditions of rural people, although concepts of participation in planning resource management are not fully recognised. Donor response has been encouraging, although coordination between donors is extremely weak, and there are cases in which more than one donor are independently and unknowingly making preparations for the same project. The country now finds itself at a critical juncture of moving from planning to implementation, and good coordination for the considerable technical and financial assistance which is needed is essential. An NEAP, building on the conservation strategy is under preparation and the Government believes that by combining the two schemes, it will be in a position to address the huge conservation and development problems that the country is facing. Nevertheless, there has been overlap between environment and forestry planning, and there is a very clear need to provide assistance which will enable the Vietnamese to respond effectively (and for their own benefit) to the rapidly accelerating international interest.

### 2.2.3 Latin America and the Caribbean

The Governments of the region have placed high importance on natural resources, particularly forests, as an engine of future development for their countries. This is reflected by the fact that every country is a TFAP participant, with the exception of Brazil which has chosen a separate forest initiative with support from the G-7 donor countries and the World Bank. Several regional frameworks exist to deal with cross boundary forests issues and horizontal exchanges among the Central American, CARICOM and Amazon Treaty Countries. The TFAP is widely accepted throughout the region as the mechanism for forest resource development and conservation. A few countries have benefitted from other schemes, such as GEF and NEAPs, or have pioneered the debt for nature swaps concept to finance forest and environmental conservation efforts.

The region faces the consequences of serious deforestation and forest degradation, largely caused by conversion of forest to agricultural land and by uncontrolled burning, yet has fairly well developed human resources and relatively stable government institutions. Progress with implementing NFAPs, however, is hampered by slow funding commitments by both national governments and international donors. Although impressive examples exist throughout the region of conservation measures, peoples participation, policy reform, donors and banks remain hesitant to meet national expectations they themselves helped to create:

Bolivia: the Government declared an "ecological pause" in 1988 banning logging concessions in the Amazon Basin to enable a policy review process to establish an adequate legislative framework for protecting the environment. Bolivia has used various mechanisms to define priority conservation measures including NFAP, NEAP, debt for nature swaps and legal titling of indigenous territories (Box 4).

**BOX 4: Bolivia Case Study**

Bolivia has used a variety of international frameworks to work towards economic recovery. Since the "Ecological Pause" declared by the President in 1988, Bolivia has placed a moratorium on issuing timber concessions, deeded large territories to Amazonian indigenous peoples, implemented an ITTO pilot forest management project, completed formulation of a National Forestry Action Plan (NFAP), negotiated environmental financing arrangement through debt swaps and the USA's "Enterprise for the Americas Initiative", is applying the final touches to a National Environmental Action Plan, and has been proposed as a pilot country for the implementation of UNDP's Capacity 21 programme.

Bolivia's NFAP was completed in March, 1992, with UNDP/FAO as the core support agency, but has generated little response from the international donor community. FAO maintains the initiative, principally with Dutch funds (US\$ 1.6 million TCP) and a modest parallel funding arrangement with SIDA (US\$ 100,000/year for "extra activities"). Bimonthly donor coordination meetings are held and focus largely on project progress reports and the status of consultant contracts.

The NEAP, initiated in 1990, is in the advanced stages of the planning phase. The effort has benefitted from the support of USAID local currencies (US\$ 190,000), the Netherlands (US\$ 390,000), Germany (US\$ 75,000) and more recently UNDP (SENMA's recurrent costs). Compared to the NFAP, the NEAP is considered a more country driven exercise, although wholly dependent external financing to cover staff salaries, office space and operations. Nonetheless, the NEAP has catalyzed broad public debate and input, and appears to enjoy a solid political base. However, it has yet to define specific priorities and may experience uncertainty as the country nears presidential elections in August, 1993.

There is currently no institutional linkage or coordination between the NFAP and the NEAP secretariats. The National Secretariat for the Environment (SENMA) is to name a coordinator for the NFAP who will be placed in FAO's office.

Comparing the impact of the two initiatives, one donor representative said, "the legal and institutional frameworks were not addressed by the NFAP and would need to be in place before any plan can have an impact on any agency's planning and programming cycle. In the case of NEAP, it has had an impact on so many donors because the necessary legal and institutional frameworks are being put into place before the planning process is finished. You cannot expect much from donors unless you use both instruments."

Colombia: some 18 million hectares of primary forests located in the Amazon Basin were legally transferred to their original native inhabitants in an effort to prove that people can live in balance with their environment. The NFAP, prepared in 1989, is being implemented with very little donor assistance; 55 out of 76 the plan's projects have been initiated with national funds. Donor response is improving slowly but donor coordination, encouraging during the planning phase, has evaporated. The Ministry of Planning

provided a firm leadership role from the early stages of the plan, but the national forest service located in the Ministry of Agriculture acts independently in matters related to natural resources management. The creation of a new Ministry for the Environment is foreseen and will aim for better integration of national efforts towards sustainable development and conservation. The Colombian authorities are strongly in favor of a central support structure to better mobilise commitments and actions of the international community.

Costa Rica: the Government has taken a range of measures and decisions to conserve and protect the forest ecosystems. As a result, Costa Rica enjoys one of the most celebrated park systems in the region. Donor support has been considerable for a variety of initiatives and pursued a strategy of geographic segregation. However, overall donor support appears to be waning. A debt for nature swap is being implemented within the framework of the NFAP. The country represents an interesting example of strong commitment to conservation, but insufficient human resources and conflicting land use policies hindering good intentions.

The region as a whole offers great opportunities for developing effective schemes for conserving and sustainably managing its diverse and vast forest resources, especially in the Amazon and Maya forest regions. However, very few (if any) linkages have been established to date between the various technical and financial assistance schemes present.

### 2.3 SUBREGIONAL AND REGIONAL MECHANISMS

Natural resources management in one country affects and has implications for neighbouring countries, and in the case of calamities, for entire subregions. It is widely recognised and understood that severe changes in a region's environmental stability may affect other continents. Previously closed societies are opening up resulting in increasing subregional social and economic interlinkages. The impact of national policies can be exported: a logging ban in one country may result in increased deforestation nearby as companies move their operations across borders. Watersheds do not follow national boundaries, neither do areas of unique conservation value. The need for subregional coordination is increasingly evident, as can be seen by the multitude of meetings and workshops which are held to exchange information, share experiences, conduct field trips and discuss the wider implications of local approaches. This type of coordination has been increasing both in governmental and independent sectors, although in many parts of the world the mechanisms are still weak.

Lack of financing, both national and international, remains a limitation to improved subregional and regional coordination, although the donor community has demonstrated a limited interest in financing this type of mechanisms. It is clear that UNCED's call to intensify efforts for the sustainable development and conservation of natural resources will intensify the need for subregional and regional discussions on the future of forests and their influence over environmental stability, agricultural productivity and socioeconomic development in general.

### 2.3.1 Africa

Regional coordination of the CILSS countries to jointly address desertification and drought which is threatening to neutralise all development efforts, is an outstanding example of good intentions with little progress (Box 5). Lack of funding, however, is not the only reason for this: there is, as well, lack of leadership and commitment. Recent discussions to link desertification control measures to NFAPs make it clear that there is a lot of potential for increasing the effectiveness of action.

#### Box 5 CILSS

The Inter-governmental Committee on Drought Control in the Sahel (abbreviation of the original, French name is CILSS) was established in 1973 after a catastrophic drought ruined the economies of the 9 Sahelian member countries of the CILSS: Burkina Faso (where the Secretariat is located), Cape Verde, Gambia, Guinea Bissau, Mali, Mauritania, Niger, Senegal and Chad.

The total population of these 9 countries is around 40 million, growing at a rate of 2.5% per year. The economies are largely based on extensive, nomadic livestock breeding systems, hence vulnerable to droughts and desertification. The CILSS, strongly supported by the OECD-linked Club du Sahel in Paris, consists of the following institutional elements:

- Heads of State Conference, determining the general orientation of the joint efforts
- Council of Ministers, that decides on specific programmes and action to be undertaken
- Committee of Experts, in charge to prepare the technical advice for the Council of Ministers
- Secretariat, established to execute the decisions, taken by the Council of Ministers, to further follow-up action and to coordinate the inputs of the involved institutions.

Although the original mission of the CILSS was to counter desertification, the famine and other human sufferings that struck the subregion in the years 1977-1985 forced the decision makers to concentrate on *two* rather than *one* major issue: food security and desertification control.

To address these issues, the programme objectives centre around people, the economy and the environment:

- empowering the people to become (again) the driving force for development
- restoring a healthy base for the economies of the region
- reestablishing the ecological balance in the region.

Although some progress was made, weak people's participation, insufficient linkages with the traditional production systems, and project rather than programme approach, produced sub-optimal results. As a consequence the action shifted somewhat from subregional to national, giving more attention to the development of national natural resources, but always linked to food security and desertification control.

The preparation of NFAPs and, later on, NEAPs have to be seen in support of the CILSS driven subregional action to achieving the mentioned major objectives.

The SADCC countries have drawn lessons from an overly centralised decision making process, and have assigned the coordination responsibility for each (natural resources) subject to a different member; forestry development in the whole SADCC region is

coordinated by Malawi. Joint action has been taken eg by preparing a Forest Research Master Plan for the SADCC countries.

There are other examples of regional coordination (ECOWAS, IGADD, MAGREB), but all initiatives are constrained by the lack of funds required to render joint action effective. Also, in West Africa, the existing capacity for regional approaches to sustainable forestry development seems limited. This is true of the environmental field generally: efforts to stimulate the major existing forum - the Economic Community of West African States - into environmental action have failed in two recent examples, monitoring of global climate change and control of water hyacinth.

Nevertheless, opportunities to exchange views and experiences are important for people who are facing complex and difficult development problems. The scarcity of resources at the national level make subregional coordination in such fields as human resources development and research critically important.

### 2.3.2 Asia-Pacific

Regional coordination is probably best exemplified by ASEAN, the organisation for economic cooperation of the South East Asian countries. Smaller groups of countries have followed ASEAN's example and agreed on joint approaches in natural resources management. The Mekong delta countries have established the Mekong Committee with a joint secretariat (Box 6) to enhance subregional land and water management. Under the TFAP/FMP framework, discussions have been held to consider how information and views can be better exchanged between countries. Coastal countries are increasingly working with mountainous neighbours to arrest deforestation and erosion and consequential flooding. Indonesia and Malaysia have cooperated in formulating common policies for sustainable forestry development, and for trade in forest products. The cooperation has extended to the formulation of common positions in certain international fora.

45



**BOX 6:            Mekong Committee**

The Mekong Committee, established in 1957 by Cambodia, Laos, Thailand and Vietnam, was a joint response to increasing population pressures on the environment and demands for electricity, irrigation and transport. Sharing the lower basin of the Mekong river (in total over 4000km in length, of which 2400km in the lower basin), the countries agreed to one conceptual framework for planning the development of the river basin as an integrated system.

Its Secretariat, located in Bangkok, was assigned the following major tasks:

- programme planning
- planning (to ensure maximum use of available resources for implementation of projects)
- and coordination.

At the country level National Mekong Committees were established to promote subregional cooperation through policy formulation and to carry out studies, investigations, planning and data collection. The Mekong Committee, established as focal point for development through subregional cooperation has focussed its work from the beginning on hydro-electric power, navigation, irrigation, drainage and flood control, and has for a long time not been dealing with natural resources management.

Since 1989, however, forestry projects related to classification and rehabilitation of watersheds, reforestation and national parks have been started up, whereas Thailand and Vietnam have used the FMP and TFAP approach for forestry sector review and planning. A subregional TFAP exercise is under consideration.

Within the context of the Mekong Committee, projects are identified by the National Committees and when screened and approved by the four partners, formulated and presented for funding to a yearly donor meeting, which serves at the same time as coordination mechanism.

Although from the beginning the focus has been largely on national activities, giving some attention to subregional implications, the need to shift to real subregional approaches, programmes and projects is increasingly being felt. As a consequence, Myanmar (Burma) and China, with parts of their territories located within the Mekong river upper basin, are expected to join the Mekong Committee.

### **2.3.3 Latin America and the Caribbean**

Regional coordination is evident in the multinational structures that have arisen among Amazon Basin, Central American, Andean and the Caribbean countries. TFAP has promoted regional collaboration through subregional projects and programmes. Also, a regional group of NFAP Coordinators has formed with an executive committee to facilitate information exchange and technical assistance between countries. Other interesting developments include the preparation of a Maya Forestry Action Plan for local communities in Guatemala; the decision by Central American ministers of agriculture to prepare a regional agricultural action plan; the creation of the Central American Commission on Environment and Development; the corresponding National Environmental Commissions in each signatory country; and the inter-parliamentary commission on environmental legislation to facilitate the process of legislative reform (Box 7). The Central American Presidents have also approved the concept for a regional

Convention on Forests. Within the Amazon Treaty, special commissions have been established for the environment and indigenous peoples, and a proposal has been drafted to harmonise forest policy across the Amazon Basin.

#### **Box 7 Central American Commission on Environment and Development**

The Central American Commission on Environment and Development (CCAD) was created in December 1989 by the Central American Presidents of Costa Rica, El Salvador, Guatemala, Honduras and Nicaragua when they signed the Convention on Environmental Protection. The Convention and the CCAD was one of the principal actions agreed to in the Central America Peace Accord to lower border tensions throughout the region.

The CCAD has a rotating presidency (1 year term) and a permanent secretariat in Guatemala City (3 person staff) which is served by several ad-hoc technical committees that are created and disbanded as needed. So far, three committees have been formed to facilitate "Agenda 2000", the regional TFAP and to create the inter-parliamentary commission on environment and development. The CCAD is governed by the presidents' delegates, who in turn preside over the national commissions on environment and development (CONAMAs) composed of cabinet ministers from the major economic, social and environment sectors in each country.

The CCAD's most important activities to date have been "Agenda 2000" - a 10 year strategic plan for environment and development priorities for C.A. and the region's joint position at UNCED - the regional TFAP (PAFCA), and the successful negotiation of two regional conventions on biodiversity and forests. It has also provided a mechanism to negotiate amongst neighbouring countries joint proposals presented to the GEF for biodiversity - through support to cross-boundary "peace" parks (i.e. protected areas) - and global warming - through support to national forestry programmes to rehabilitate and conserve forest lands surrounding cross-boundary peace parks. The CCAD has depended heavily on existing networks and national institutions to carry out its activities, and the hiring of local consultants on a product basis. Finally, a regional fund has been established to support these activities which is governed by the CCAD and managed by the secretariat who disburses funds directly to implementing agencies, be they public, private or NGOs.

PAFCA has been instrumental in mobilising technical expertise between countries regarding the design of NFAP planning processes and participatory mechanisms (El Salvador, Guatemala, Panama), mediation between different interest groups to design and evaluate timber concession guidelines and procedures (Guatemala, Honduras and Nicaragua), as well as a neutral forum in which to highlight successful attempts at addressing neglected issues such as indigenous peoples (Guatemala, Panama), gender and forestry development (Nicaragua), forestry incentives and project preparation and negotiation with donor agencies (all countries). By virtue of its access to decision makers throughout the region, PAFCA has also been able to muster the political support necessary to sustain several NFAPs and timely approval of priority agreements with the international community.

Regional coordination is seen by the participating countries as a useful mechanism for the effective planning and implementation of projects and programmes for sustainable development, especially in relation to the cross cutting themes of policy, trade, education, research and ecosystem approaches to land management.

### **3. DONOR COORDINATION IN OTHER SECTORS**

#### **3.1 INTRODUCTION**

The following section is based on a sector planning and donor coordination input study commissioned by CIDA (Nagle 1993) . The purpose of the section is to highlight some findings and experiences of donor coordination in other sectors than forestry.

The overall conclusion of the study is that TFAP remains a bold initiative with broader objectives than many of the other coordination efforts studied. Many similar or congruent efforts have been noted in other sectors, but few have ventured across such a broad sector. Even fewer have attempted to coordinate all the main aid investment projects in one sector at the national level. Few structures or forms of donor coordination were encountered which have not been tried or at least reviewed in some detail by TFAP. Nonetheless, interesting innovations have been tried in other sectors, and some may be useful in improving coordination for sustainable forestry development.

##### **3.1.1 Participation**

The importance of close collaboration between host countries and donor/financing agencies at the country level is generally recognised, as is the need to facilitate the participation of NGOs. The problem of reconciling government and NGO objectives has been widely encountered in other sectors. Difficulties have been clearly recognised, as in forestry, in setting priorities within and amongst countries, or within the UN or other system or organisation.

##### **3.1.2 Objective setting**

The importance of setting clear objectives for coordination has been noted in other sectors, especially in relation to whether strategic guidance is needed or only project level coordination is required, or whether the scope of coordination is to be limited to research and development or to cover full investment programmes.

The important common objectives for coordination and collaboration in other sectors include:

- 1) improved cost-effectiveness of projects/programmes;
- 2) policy harmonisation between bilateral donors, multilateral agencies and host countries;
- 3) coordination of field plans and actions at national and regional levels;
- 4) establishment of research and development networks; and



- 5) effective, balanced public information to mobilise funding and local implementation.

Notable successes in coordination have been achieved within fairly narrow, well focussed objectives *eg* smallpox control, locust control, crime control, drug control. Coordination in many other sectors has concentrated on research and development, and not to the same extent on large scale field implementation projects or programmes.

### **3.1.3 Competition for Resources**

All sectors recognise the difficulties of reconciling the various interests of international organisations, multilateral agencies, bilateral donor agencies, host countries and NGOs. Even more difficult is the competition between sectors in any country in seeking funds within limited budgets of national and external agencies. Delays have been generally experienced in getting sectoral issues through to aid agencies which have been structured on a regional or continental basis and focus on broad socioeconomic and environmental issues and their own policy guidelines.

### **3.1.4 Information flows and decision making**

Most other sectors have attempted Bellagio-type conferences to enhance political awareness and obtain strengthened commitment both by donors and developing countries. Some major information and collaboration initiatives (*eg* the Water Decade) achieved a strong impact by getting a basic policy/strategy framework accepted operationally by a broad group of donors. In these initiatives, approaches to large investment projects are now more consistent and better informed. This may stress the importance of focussed policy/strategy themes for coordination and collaboration in the forestry sector in the future.

### **3.1.5 Structures and methods for coordination**

One of the major constraints cited in effective country level coordination is the differing planning cycles of different donor or financing agencies and individual host countries. There appears to be no simple solution or mechanism to ease this constraint directly. Consequently, indirect solutions must be found, including operational structures to enhance sectoral information flows to, and contacts with, the relevant decision makers in the (geographically based) donor or financing agencies. For this to be effective, sectoral problems should be framed against broader socio-economic and environmental issues.

Informal, technical coordination structures are in general deemed more successful than formal UN or other government to government arrangements, and provide for more transparency and easier NGO involvement. The high level, informal CG approach to donor coordination has been successful in agricultural research, but has not been tested in a wider field of aid programme coordination.

The World Bank hosts the secretariat for several funding as well as coordination and collaboration mechanisms, either directly (*eg* ESMAP, CGIAR, CDASED)) or through the use of special profit based funds to finance secretariats in other institutions (*eg*

nutrition at IDRC). Some secretariats for sectoral coordination and collaboration mechanisms are hosted by UN agencies (eg ESA Collaborative Council on Water and Sanitation Secretariat in WHO). The general trend seems to be towards lighter, more flexible and less bureaucratic arrangements both due to funding constraints and increasing focus on country level coordination.

#### **4. KEY ISSUES AND POTENTIAL IMPROVEMENTS**

In this section the key issues and potential improvements in the institutional and informal arrangements and mechanisms for coordination to promote sustainable forestry development in the developing countries are described. The section is based on the foregoing analysis of initiatives and frameworks, and on the discussions held and experiences gained. The starting point is the national level in the developing countries, as it is at this level that the impact of the initiatives and frameworks is felt. The proposals for improvements are made on a general level concerning all partners. More specific recommendations for the TFAP Forestry Advisers' Group are given in Section 5.

##### **4.1 OBJECTIVE AND PRINCIPLES**

The objective of coordination is to increase the effectiveness and efficiency of the external assistance needed to achieve sustainable national forestry development.

The principles for coordination are clearly defined in, for example, the UNCED decisions or in the Independent Review of TFAP (Ullsten *et al*, 1990). These are:

- 1) the sovereignty of a country over the use of its natural resources;
- 2) country leadership and country driven development; and
- 3) external assistance based on national priorities, plans and programmes.

Any structure or mechanism which is established for sectoral aid coordination must be compatible with these.

A model for sustainable forestry development in any country should include the following elements:

- 1) an adequate policy framework including the harmonisation of forest policies and legislation with those of the closely related sectors, such as land use, agriculture, industries, trade etc;
- 2) based on the policy framework, a strategy and an action plan for its implementation, as well as a mechanisms to monitor the development of the sector and the impact of actions;
- 3) the roles and mandates of the different institutions, public and private, clearly defined and realistic in terms of their capacities;
- 4) participatory mechanisms (institutional, financial etc) to facilitate NGO and private sector participation, at all levels (national, subnational and local);

- 5) the necessary human and financial resources to implement the strategy and action plan.

The efforts of the donor community, and hence coordination, should be directed to enable the countries to develop and implement this model *ie* to put in place a **national forestry programme**. For this two sets of issues are critical: what the developing countries need from the international community to put this in place; and what the donor community requires for effective participation.

## 4.2 NATIONAL LEVEL

### 4.2.1 Key Issues

The following issues were highlighted by the developing country and donor agency representatives interviewed during the course of the survey.

a. The needs of the countries:

- 1) simplification and better coordination of international frameworks related to forests, environment and natural resources management and utilisation. This is necessary to avoid overburdening the limited national human and institutional resources and to decrease overlaps between the various planning and implementation frameworks. Existing frameworks should be used and improved on whenever possible;
- 2) increased, timely and flexible financial flows to implement the strategies and action plans in accordance with national priorities. In many countries there is a deep disillusionment in the weak commitment of the donor community to assist the countries in implementing their forestry programme. Also, donor or agency procedures are considered unnecessarily cumbersome and complex;
- 3) willingness of donors and international agencies to submit to national leadership, coordination and priorities;
- 4) assistance in capturing funds from international sources and funding mechanisms, both public and private (*eg* GEF, private sector, foundations);
- 5) assistance in developing human resources and transferring technology to lessen the long term dependence on external assistance;
- 6) assistance in developing operational mechanisms for public and private sector participation and for monitoring progress;
- 7) support for sub-regional dialogue and coordination mechanisms around issues of common interest.

b. The needs of the donor and financing agencies:

- 1) a demonstrated and sustained political will and commitment by the national government;
- 2) a credible sectoral policy framework, or an agreement concerning a process to arrive at a credible framework including any necessary reforms. The sectoral policy has to be in line with the macroeconomic policy and to identify the key intersectoral linkages. The same applies to the institutional framework in the sector and to the division of responsibilities between public and private sectors. The lack of policy analysis and reform is considered by many donors or financing agencies as the key constraint to the sustainability of aid;
- 3) priorities as identified by host country government;
- 4) an established mechanism for policy dialogue and operational coordination, including the identification and formulation of projects and programmes adapted to the requirements of the particular agencies;
- 5) transparency in the processes and mechanisms, and a possibility for non-governmental participation. Identification of conflicts of interest between various groups in the society.

#### 4.2.2 Potential Improvements

a. Support to National Forestry Programmes

Coordination and harmonisation of all sectoral and more general development frameworks or strategies must happen at the country level. This is perhaps best left to the ministry responsible for finance and/or planning, taking into consideration existing cyclical approaches (eg rolling 5 or 3 year national development plans).

Various arrangements exist depending upon a country's particular political and development condition and history with different international frameworks and their subsequent evolution. If "country driven" as opposed to "donor induced" development is successful, each country will modify and combine these frameworks according to its own needs and priorities, characteristics of the sector, national planning systems, and institutional structures. NSDSs are intended to assist and enable countries to use such frameworks in an optimal and rational way.

The NFAPs (and related frameworks, such as the Forestry Master Plans) are recognised - both by the developing countries and by donor or financing agencies - as the most useful national forestry programmes which have evolved to date. There are also encouraging signs that in many countries a national ownership of the NFAP has been established. The NFAPs have often been successful in formulating a strategy and an action plan, but less

satisfactory in providing a credible policy framework or in prioritising and formulating projects and programmes for financing.

Other strategies with a broader focus, such as NEAPs, may be better suited to deal with intersectoral policy and institutional issues, although improved coordination is generally needed between sectoral and cross-sectoral approaches. What is often lacking, is a country specific arrangement that allows for a two way policy dialogue at a sufficiently high level between forestry and related sectors to assess impacts of policies. Experience in some countries demonstrates that inter-sectoral Steering Committees under broader planning frameworks have been more effective in addressing critical issues.

The following improvements are recommended:

- \* Assist governments to conduct a needs assessment prior to supporting any national planning exercise to define the most appropriate framework for forestry development.**

Before embarking upon any planning exercise (new or ongoing), a review of all existing national plans should be in place. In some cases this will have been done (*eg* countries which adopt NSDS), elsewhere assistance may be needed and the output should identify a country's most urgent needs and critical information gaps. Discussions should then be initiated with all potential partners to seek agreement on which, if any, of the various frameworks are appropriate. A national body representative of the key stakeholders could be charged with overseeing this preliminary exercise, and provide the basis for any national steering committee that may emerge once the appropriate planning mechanism is defined. This will likely lead to some variation of the following alternatives:

- 1) Formulate a separate sectoral programme (NFAP, FMP, etc). This applies to countries where the forestry sector is well developed or potentially has a major role to play in national socioeconomic development;
  - 2) Incorporate forestry sector planning into a broader national development framework (*eg* NEAP, desertification control plans, plans for integrated mountain development). This approach applies to countries where the forestry sector has lesser socio-economic importance vis-a-vis its linkages with other sectors.
- \* Assist governments to identify the key stakeholders and their potential contribution to developing and implementing a national forestry programme.**

Specific mechanisms and budget allocations should be included in the planning strategy to ensure the interaction of the various stakeholder groups. The objective of such an effort is to reach consensus on a country's priorities for conflict resolution, major policy failures fuelling deforestation, and any emergency interventions needed.

- \* Give particular attention to policy issues.**

Strengthen sector analyses by applying the best conceptual designs and analytical tools available. New initiatives should employ a two step approach: first, developing an

adequate policy and institutional framework; and secondly, an action plan with a financing and implementation strategy which effectively matches national needs and resources with donor possibilities. In the long run, the NFAPs and related frameworks should transform into continuous processes of national planning, well anchored in national institutions and structures.

- \* **Prepare an analysis of the financial and technical resources available from different sources to develop an effective funding strategy.**

Given the reality of declining official development aid budgets, national priorities for programmes and projects which require external assistance will enjoy a better chance of success if matched with the financial resources available from different sources, both domestic and foreign. A viable financing strategy and time frame is best formulated in close collaboration between country planners and potential financiers (be they private, governmental, national, external, grant, loan, or investment). This could make better use of resources from development banks, which are often programmed and delivered independently of national planning frameworks and cycles. Such an analysis should also include the possibilities of capturing the increasing pool of global environment funds (such as the GEF or private sector initiatives for carbon sequestration forestry or biodiversity conservation). More effort is also needed to design policy incentives that attract and direct private investment. The use of sectoral loans should be strictly limited to those cases where realistic expectations exist to pay them back. NFAP steering committees, or other appropriate national structures, should approve this strategy as part of the overall plan.

- \* **Separate policy planning from fund raising responsibilities.**

The imperative to capture external resources often forces shortcuts in the planning process and in formulation of an adequate policy framework. In countries with a more developed institutional structure and private sector (including national NGOs), or a good opportunity to attract private investments from abroad, the entity charged with fund raising should be designed as a preinvestment centre with the capacity to identify investment opportunities and develop prefeasibility studies for potential investors and financiers.

b. Donor coordination

Donor coordination has been an empty shell where neither national nor international partners have pursued joint actions actively. Furthermore, donor coordination can only have a sustained impact if the locus is well rooted in an appropriate and capable national institution. National level arrangements for donor coordination should build a country's capacity to coordinate all actors in the sector, including donors. Coordination and dialogue is needed on two levels, policy and operational. These are likely to need separate focal points in a government hierarchy.

Policy coordination and dialogue should take place in the designated point of intersectoral coordination (eg ministry of planning and/or finance, NEAP steering committee, etc). The key issue is to obtain a common agreement on a policy environment

conducive to successful investments in the sector, be they for economic and social development or for conservation and protection. The focus of coordination should be on:

- 1) establishing a policy dialogue with key stakeholders - both national and international - to identify conflicts of interest and major policy failures which have a negative impact on forests, and options for their resolution;
- 2) establishing and maintaining the mechanisms needed to sustain this dialogue; and
- 3) generating the analysis and disseminating the information needed to inform dialogue.

Donor support is needed to build the capacities of the various stakeholders (government agencies, NGOs and local communities), to clarify mandates, assume responsibilities, and to provide the stakeholders with the financial and technical support necessary to be effective.

**Operational coordination** is the responsibility of an appropriate unit within the line ministry or institution charged with the sector's development (*eg* the NFAP CU, or the planning unit of the NLI). Coordination efforts should focus on:

- 1) informing donors and investors of the policy framework, strategy, action plan and potential investments of the national forestry programme;
- 2) acting as an ombudsman to ensure that actions are compatible with the national forestry programme;
- 3) achieving a division of responsibilities based upon the comparative strengths of the various partners, and thereby maximising the impact of investments and minimising bureaucracy;
- 4) Informing the national authorities of donors' and investors' policies, preferences and available resources; and
- 5) reporting to all partners about the status of the sector and the impact of joint efforts based upon agreed criteria (*ie* standards and indicators).

Donor support is needed for training, especially in policy analysis and formulation, programme and project preparation and monitoring; development and standardisation of information systems and databases; identifying potential donors and or financiers and linking them with preinvestment work in order to secure commitment; and enhancing the participation of local communities, NGOs, and the private sector in this process.

At both the policy and operational levels, donor support should facilitate joint efforts in the preparation of work-plans, coordination meetings, and participation in sub-regional and other international coordination activities inasmuch as they support or inform the country specific situation, as well as the monitoring and evaluation of the overall programme.



Under extreme circumstances, a **donor coordinating mechanism might justifiably be chaired by an external agency**. In such a situation, the host country should specify the type of arrangement and designate the lead agency from among the various international actors active in the sector. Particular operational capacities should be taken into account, and the process may be assisted by UNDP, as endorsed by UNCED. This, however, implies that an external agency takes on a national responsibility and indicates severe limitations in the country's absorption capacity. Designating an external agency may result only in the shifting of a bottleneck from coordination to implementation.

**Informal discussions amongst donors** serve a useful purpose for maintaining a coherent dialogue on policy, transparency, democracy, human rights and information exchange issues in situations when this cannot be achieved through formal coordination mechanisms. *Ad hoc* coordination between donor representatives has proven useful in avoiding duplication and in responding to emergencies.

Although it is evident that no general model can be proposed for country level coordination, the following recommendations can be made:

- \* **International partners must accept the principle of country led coordination and direct their efforts to strengthen the national capacity to do so.**

Strengthening national coordination at both the policy and operational levels should be primary components of any country capacity project (as outlined in the UNDP's CCPF proposal), and should be included in the mandate of any lead agency for a national forestry programme.

- \* **Separate responsibilities for policy dialogue and operational coordination.**

In several countries, policy dialogue and operational coordination have been more effective when separated and charged to the appropriate level within the national government structure. To ensure effective implementation of recommended policy and institutional reforms, clear and specific linkages are required between the different levels.

#### **4.3 SUBREGIONAL AND REGIONAL LEVELS**

Countries which share similar social, cultural, economic, political, or ecological conditions and challenges are increasing their interaction to advance national interests and expertise, and to develop unified negotiating positions in global arenas. Certain subregional groupings, such as of NFAP coordinators, have demonstrated that group analysis of common challenges may be more objective and less antagonistic than purely national or international debates. For example, subregional fora in Central America have usefully addressed such critical issues as:

- 1) cross border ecosystems conservation and management, especially up- and downstream relations (*eg* Si-A-Paz on the Costa Rica-Honduras border, or La Amistad on the Costa Rica-Panama border);

57

- 2) policy issues regarding timber concessions (Honduras, Nicaragua and Guatemala);  
or
- 3) the special needs and participation of indigenous, peasant and women groups (Guatemala, Costa Rica and Nicaragua).

This provides a more concrete focus and practical approach to international coordination efforts, bringing the debate closer to national realities. Consensus on common approaches and effective responses to forest problems and opportunities are more easily defined within similar environmental and socio-economic contexts and when discussed among the principal stakeholders. Cost effectiveness of national programmes could also be improved in such areas as human resource development (training, education, research, etc). Different sub-regional groups are emerging along the following lines:

- 1) developing countries with large areas of tropical rainforest (eg Amazon Treaty or Andean Pact countries);
- 2) developing countries with depleted forest resources facing desertification (eg CILSS, SADCC);
- 3) developing countries in a reasonably stable situation where forestry development can significantly contribute to national and regional socioeconomic development (eg CCAD, CARICOM, Mekong Committee); and
- 4) countries in transition from socialist to market economies in Eastern Europe and the former Soviet Union, with temperate and/or boreal forests.

Several formal (eg FAO Regional Forestry Commissions, SADCC, CILSS, the Mekong Committee, the Amazon Treaty, CARICOM and CCAD) and informal mechanisms (eg the Latin American regional and Central/South America subregional NFAP coordinators' groups) already exist and can, and do, discuss and initiate action on specific issues at both policy and operational levels.

The study team recommends that the international community:

- \* create operational partnerships with subregional and/or thematic groups to develop common approaches and mechanisms to support national forestry programmes;
- \* use formal mechanisms to bring forestry issues onto the agenda of policy makers in the broader context of conservation, trade and socioeconomic development to raise the status of the sector in the national political agenda; and
- \* convene and/or support *ad hoc* meetings, at both political and technical levels, around well defined issues of common interest to several countries and the international community.

58

#### 4.4 INTERNATIONAL LEVEL

Donor coordination in the forestry sector is better developed than in most other sectors. However, the solidarity and momentum generated by the TFAP is eroding, and agencies are returning to a more independent approach. Recapturing coordination and collaborative arrangements appears more feasible around subregional or thematic concerns than in relation to global initiatives or frameworks.

The minimum needed from the international level to support sustainable forestry development at the national and subregional levels in a cost-effective manner are: leadership, coordination, information management, and operational, technical and financial support.

##### 4.4.1 Leadership

Global forestry, despite its importance to economic development and environmental issues, lacks international leadership. It is clear that shared responsibility for the development and conservation of the world's forests requires shared leadership, with different actors providing leadership at different levels and times as necessary. The ultimate responsibility for the development and conservation of forests is vested in national governments. The following formula for shared leadership is emerging:

- \* for political leadership, the UN Commission on Sustainable Development could become the highest authority but will need advisory bodies, including on forest issues, with balanced representation from both southern and northern countries (*eg* the proposed World Commission on Forests and Sustainable Development). Such a body could assist the UNCSD to identify priority actions areas and to define the corresponding institutional responsibilities for the forestry sector;
- \* the World Bank and Regional Development Banks are increasingly providing leadership to the donor community in channeling financial aid to countries that choose to use forest sector loans;
- \* specialised UN agencies, notably the FAO, continue to have a key role in providing technical leadership in harmonising approaches, developing technical guidelines and monitoring global trends, especially in close coordination with regional and thematic groups.

##### 4.4.2 Coordination

The key issues for improved coordination are:

- \* increasing cost-effectiveness through complementarity of investments (development banks), technical assistance (bilateral, UN and international agencies), and international financing mechanisms (*eg* GEF);
- \* increasing accountability, decentralisation and transparency of international aid decision making and delivery systems; and

- \* increasing integration with national plans and priorities.

UNDP appears well positioned to facilitate donor coordination at the international level, given its mandate to coordinate the inputs of the UN agencies, the implementation of Capacity 21 and central role in the GEF. However, major improvements in operational capacity are needed before it can fully assume these responsibilities at a global scale.

#### **4.4.3 Information management**

Information is indispensable in formulating policy and maintaining public interest and political support. A focal point for information dissemination is needed to provide decision makers and the public at large with a clear picture of the world's forests and forestry sector trends, and of the impact of aid. FAO has played a central role in providing this service to the world community, and has a major responsibility for strengthening national and regional centres of excellence to collect, process and disseminate such information. However, greater use needs to be made of private and independent sector entities to enhance the collection, availability, transparency and impact of information on global forest trends. The standardisation of the information format used by different centres will be of utmost importance to the success of a global reporting system.

#### **4.4.4 Operational and financial support**

The principal rationale for international forestry coordination is to deliver effective operational support to governments to formulate and implement national forestry programmes. This has been complicated by the proliferation of cumbersome, erratic and often overlapping delivery systems for foreign aid, each driven by distinct procedures, rigid cycles, political agendas and priorities. Furthermore, these aid packages do not necessarily fit local needs, capacities, cycles or desires.

The TFAP CU located at FAO headquarters and the independent TFAP Forestry Advisers' Group have attempted to address many of these issues, and continue to share a major responsibility in removing bottlenecks whose eradication is central to improvements in the present situation. Amongst the improvements needed are:

- \* simplification, consistency and complementarity of foreign aid delivery systems (mandates, procedures and mechanisms) *eg* through co-financing arrangements between donors and development banks;
- \* strengthening of countries' capacities to capture and absorb foreign aid *eg* by strengthening and making use of national banking systems, endowments, debt swaps, independent sector revolving funds and other mechanisms which make funds available at local levels in appropriate packages: and
- \* increasing dialogue, transparency and accountability amongst all partners *eg* by informing countries about donor procedures and policies, and by establishing independent auditing, monitoring and evaluation mechanisms.

#### **4.4.5 Recommendations**

- 1) Clarify the roles of international institutions to (re)establish the leadership required to resolve the international crisis over forests. Investigate the feasibility and seek consensus on an effective division of labour and responsibilities for establishing a mechanism of shared leadership acceptable to all partners. Post UNCED bodies charged with addressing global forest issues should make this a priority item.**
- 2) Decentralise decisions on aid flows to allow for greater integration or complementarity of available national and international financing mechanisms. Strengthen UNDP to facilitate consensus building among partners in the preparation and implementation of national forestry programmes**
- 3) Strengthen national and subregional centres for information management for efficient and accurate monitoring of forest resources. Strengthen FAO to provide satellite data and training to national and regional centres of excellence, and to compile and disseminate information on global forest trends.**
- 4) Simplify agency procedures, mechanisms and processes for aid delivery to enhance efficiency and effectiveness at the national level. Establish checks and balances to ensure transparency and accountability of resource transfers.**
- 5) Provide capacity building through the rapid deployment of the Capacity 21 programme for the forestry sector.**
- 6) Assess the need for continued centralised operational support (TFAP CU) for national forestry programmes. This may be needed to ensure that countries which now rely on the TFAP CU are not left without adequate support before new mechanisms are established.**
- 7) Provide funding for innovative approaches with the potential to rekindle momentum and inspiration, particularly those which enhance dialogue, produce tangible results and sustain support to national forestry programmes.**

## **5. CONCLUSIONS AND RECOMMENDATIONS FOR THE FORESTRY ADVISERS' GROUP**

### **5.1 INSTITUTIONAL AND INFORMAL ARRANGEMENTS**

Developing countries are overstretched by the various interrelated, often overlapping and uncoordinated, international initiatives concerned with natural resources planning and management. As a consequence, the effectiveness of all these initiatives is diminished. Contrary to intention, national capacity is weakened by the creation of institutional overlap and heavy burdens on limited human resources. Too often, these initiatives reflect more strongly the concerns of international agencies than national needs and priorities. This stands in stark contrast with UNCED principles and with the basic tenet of foreign aid in the forestry sector, that development must build local capacity, be country driven and be based on national plans and programmes.

The post UNCED negotiations to define formal structures for more efficient and effective coordination of the international community are likely to be prolonged and formidable. Thus, efforts to establish clear mandates, lines of responsibility, and procedures to streamline existing coordination mechanisms, are hindered among the major international agencies. In the interim, other members of international community (*ie* developing countries, bilaterals and NGOs) are increasingly pursuing more informal and flexible arrangements to revitalise forestry coordination and produce successful examples at the national level.

Informal arrangements that foster direct collaboration between partners are a promising way to sustain forestry development activities. Many TFAP Forestry Advisers' Group members have used informal mechanisms to achieve their objectives at both national and international levels (the current study is an example). Informal arrangements can therefore play a critical role in bridging the growing gap between political debate and practical action.

Subregional mechanisms, built upon well defined issues of common interest and joint action, are emerging as promising fora to forge practical partnerships. In addition, thematic groupings amongst those sharing similar ecological or sociopolitical conditions provide useful opportunities for partners to agree upon approaches, and to mobilise resources for action. Coordination with such groups would facilitate the shift from global to country led approaches. Partnerships between interested parties can be formed more easily where there is less political controversy, and this approach would be likely to provide the global forestry community with the sharper and more operational focus needed to revitalise international coordination.

The study team recommends that the Forestry Advisers' Group:

- 1) strengthen, and help consolidate existing and emerging subregional and thematic groups so that they may identify and agree on common approaches to critical issues of sustainable forestry development;

The subregional groups include both formal and informal bodies. Key issues which should be addressed include sectoral planning approaches, financing, taxation policies, trade regulations, subsidies and other incentives, mechanisms to enhance public participation in forestry development, conservation of cross border areas, rules and regulations for industrial concessions, forest and land use policies, human resource development and research. The approach to global issues should also be of concern.

- 2) **make use of these fora as a vehicle to form operational partnerships between interested parties to address sustainable forestry issues in specific countries.**

Partnerships for joint action should be formed to build and improve upon existing programmes and structures as consensus emerges on desired outputs, means, analytical frameworks, methodologies, tools and operational guidelines necessary to address the issues at the country level. Such ventures should set measurable targets and specified time frames, subject to joint review among all partners. The partnerships could change with the interests, expertise, view points and other inputs deemed necessary to address specific issues of importance at the national level;

- 3) **support subregional and thematic meetings and seminars of policy makers and influential representatives from the private sector and NGOs to develop, disseminate and promote the application of analytical approaches and policy recommendations;**
- 4) **make the results of these efforts available to all interested parties, including any entity emerging from the UNCED process and charged with leadership for international forestry development and coordination;**
- 5) **solicit feedback on this study from developing country representatives before embarking on this process.**

## **5.2 ROLE AND MANDATE OF THE TFAP FORESTRY ADVISERS' GROUP**

The TFAP Forestry Advisers' Group's comparative advantage is in support to forestry development and conservation in the tropical developing world. However, many countries outside the tropics, including those of the former Soviet Union and Eastern Europe, are now classified as developing countries within the UN system. Their interaction will likely intensify with many of the Forestry Advisers' Group's present members. The Role and Mandate of the Forestry Advisers' Group should be revised in order to reflect this changing situation (the current Role and Mandate is given in Appendix 7.5). Further revisions are likely once consensus has been reached among the partners concerning key issues, means, and international forest agreements and their resultant structures.

The Forestry Advisers' Group requires secretarial support and information services to function effectively. Capacity will be needed for task forces or commissioned studies on specific issues and to organise meetings and workshops. Support to subregional or

thematic partnerships will need timely and cost-effective information services. The participation of representatives from the developing countries will involve additional costs and administration. Given the amount of activity that these arrangements will generate and the support that they will require, the Forestry Advisers' Group cannot continue to depend upon *ad hoc* arrangements for its part time secretariat, chairperson (current work takes about 20 per cent of time), or small budget assigned to the chair by their sponsoring agency.

In relation to the Forestry Advisers' Group's role, the study team recommends that it should:

- 1) broaden its focus to include whatever frameworks are jointly agreed to with countries for developing national forestry programmes;
- 2) expand its scope of work to include all developing countries, as defined by the UN system;

Regarding the Forestry Advisers' Group's mandate, the study team recommends that it should:

- 1) continue and intensify support to national forestry programmes, focussing on the development of adequate policy frameworks, coherent strategies, institutional structures, priority plans of action, and particularly facilitating financial flows. In this respect, the Forestry Advisers' Group should proclaim its commitment to national forestry programmes.

Regarding membership of the Forestry Advisers' Group, the study team recommends that it should:

- 1) expand its membership to include representatives from the developing world, selected on the basis of their knowledge and influence within their respective communities, drawing from the private as well as public sectors. These individuals should be drawn from the sub-regional or thematic bodies with whom the Forestry Advisers' Group interacts;
- 2) strengthen linkages with other disciplines and sectors by asking Forestry Advisers' Group members to represent the Group's views in their personal capacity at relevant gatherings, or by inviting representatives from other disciplines or sectors to attend the Forestry Advisers' Group's meetings.

In relation to support services, the study team recommends that:

- 1) a permanent secretariat should be established.

The main functions of the secretariat would be:

- \* to provide secretarial and information services to the Forestry Advisers' Group and its partners;



- \* to assist specific studies conducted or commissioned by the Forestry Advisers' Group by undertaking the administrative work, supervision and identification of suitable consultants;
- \* to provide timely access to information as requested by interested parties;
- \* to assist the the Forestry Advisers' Group in exchanging information with relevant formal and informal structures, such as COFO, CFDT, TFAP CU, FFDC, the Earth Council, SADCC, CILSS, or CCAD;
- \* to arrange the logistics for meetings and other activities of the Forestry Advisers' Group and its partners, including travel arrangements for developing country participants, as instructed by the Chairperson.

The essential characteristics of an effective secretariat to an informal body such as the Forestry Advisers' Group are that it be small, agile, expandable or contractable upon demand, product oriented, and expendable if other formal structures render it redundant.

Finally, the Forestry Advisers' Group may wish to consider a possible name change, in consultation with its expanded membership, to reflect its adjusted role, sharper mandate and new composition. The "Forestry Coordination Advisers' Group" is suggested.

### **5.3 FEASIBILITY OF A NEW OREINTATION**

#### **5.3.1 Is it needed?**

The bottom line for world forestry is that the processes of deforestation and environmental degradation continue unabated. This is clearly indicated, for example, by the FAO's world forest resources assessment, and is despite the NFAPs, FMPs, NCSs, NEAPs and all the other sectoral and cross-sectoral frameworks and development efforts.

These frameworks have not yet been able to halt or (in most cases) to have any considerable impact on the negative trends in world forests and forestry. They have failed to influence the root causes of deforestation and forest degradation. Some of the more easily identifiable reasons for this are:

- 1) lack of impact on other sectors and policies, and on areas of human activity which continue to promote deforestation and forest degradation;
- 2) failure to define and implement effective and efficient forest sector policies and institutional frameworks for sustainable forestry development and forest conservation;
- 3) failure to secure participation of local people on the massive scale which is needed to influence forest related activities. This in turn is closely related to the failure at the policy level to establish incentives to make sustainable forestry and forest conservation viable land use options for local people.

Significant changes and developments at the international level have taken place since the launching of these frameworks. These will have a strong influence on future international efforts for sustainable forestry development and forest conservation:

- 1) **UNCED** - especially the Forest Principles, the various chapters of Agenda 21 dealing with forests and the Climate and Biodiversity Conventions - has put forests at the forefront of the international environmental agenda and debate, and has emphasised the global dimensions of the environmental problems related to forests and forestry. It has also demonstrated - at least in principle - the willingness of the international community to devote more resources to combatting deforestation and forest degradation. The UNDP Capacity 21 Programme is likely to become a major operational framework for international coordination in the implementation of Agenda 21;
- 2) the **Geneva Consensus Statement** on the revamping of the TFAP led to the new concept of a broadly based forum to discuss national forestry issues in an international context, which would be acceptable to most partners. Although not implemented yet, it sets a conceptual model for future international coordination;
- 3) the **ITTA renegotiation** process has again highlighted the international controversies over forests and forestry and the inter linkages of tropical, temperate and boreal forests through issues related to environment and trade;
- 4) the **recent political and economic developments**, especially in Eastern Europe and the former Soviet Union, but also in Africa, Asia and Latin America, have resulted in a world which no longer is divisible along traditional lines of developed and developing countries;
- 5) the **world wide process of democratisation** and the end of cold war logic in international cooperation have enabled such values as respect for human rights, accountability, open access to information and public participation, to become key issues in international cooperation.

The lack of visible progress and the above developments indicate a need for a new orientation (or "doctrine" as it is termed in the ToR) in international forestry. This would seek to provide an effective and efficient common framework for action.

### **5.3.2 What would it look like?**

It is not possible to discuss the feasibility of a new orientation without some idea of what this might look like. Five issues are highlighted by past experience and recent changes and developments, and would likely characterise any new orientation. These are:

- 1) the need to strike a balance between the local, national and global objectives of forestry development and conservation, including the definition of compensation mechanisms between the various levels;

- 2) the need for all development efforts to be country led, specific to local environmental and socioeconomic conditions, and based on the needs and priorities of the affected populations;
- 3) the need for national forestry programmes to be based on a sound policy and institutional framework, clearly defined roles of the public and private sectors and participatory mechanisms which secure transparency and respect for human rights;
- 4) the need for increased and better targetted financial flows to forestry development and forest conservation;
- 5) the needs for and benefits of using subregional and thematic fora to resolve problems common to a group of countries, or to find solutions where the actions of one country have an impact on others.

Consequently, a new orientation for international forestry development would be global in scope; driven by the efforts of the countries; based on a sound understanding of the linkages between forests, forestry and other spheres of human activity; and able to generate new funding. Most of the key elements of this new orientation seem already to exist *eg* in the UNCED resolutions, the ideas presented in the Geneva Consensus Statement, the revamped TFAP and its new operational guidelines, ITTO's guidelines for the sustainable management of natural tropical forests, the new World Bank Forest Sector Policy and the World Bank's Sector Review process, the partnership concept of the Forests for the Future Initiative and the Timber Certification movement.

In the team's opinion there would be a considerable benefit in developing more specific approaches between willing partners within subregional and thematic groupings of countries. This would bridge the gap between national and international levels. These approaches could be more concrete and operational than a global orientation which, by definition, would have to be rather general and abstract. Subregional and thematic partnerships would enable forestry issues to be placed in an appropriate problem context (*eg* desertification, depletion of tropical rainforests, forests degraded by pollution). The context would be established by dialogue between the stakeholders. Furthermore, such partnerships could facilitate the selection of the most appropriate planning frameworks, depending on the characteristics of the sectors and the available mechanisms for financing for the specific conditions.

To be operational, the new orientation would have to be complemented with the definition of essential subregional and international support structures, including leadership, coordination, the monitoring of the state of the forests, and the provision of financial and technical support. Although it is beyond the ToR of the present study, a possible outline for the new structure - originally developed in the south and presented to the team during interviews - is given in Appendix 7.6. It is hoped that this will catalyse thinking on the available options.

### **5.3.3 Is it feasible?**

The team concludes that the development of a new orientation and the definition of essential support structures to enable it to function is both necessary and feasible. This task should be the principal concern of the World Commission on Forests and Sustainable Development, and of any other post UNCED high level bodies dealing with forests and forestry.

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## **APPENDIX 7.1 TERMS OF REFERENCE**

### **PURPOSE**

To contribute to sustainable forestry development at the national level by enhancing improved cooperation, coordination and collaboration amongst donors and their partners.

### **OBJECTIVES**

1. Identify improved institutional and informal arrangements and mechanisms for cooperation at the international, regional and national levels.
2. Based on a review of existing concepts, determine the feasibility of developing an updated doctrine for cooperation in sustainable forestry development.
3. Update the role and mandate of the TFAP FA-Group.

### **RATIONALE**

Previous and current attempts to achieve effective cooperation have fallen short of expectations, while conditions have changed since the initiation of TFAP seven years ago. Several new programmatic initiatives like NEAPs, TARGET 2000 and CAPACITY 21 have been launched without offering an alternative to TFAP in concept or methodology of donor cooperation.

On the other hand, financial mechanisms like the GEF, which gained importance during UNCED, require holistic approaches in program management and project identification at the national level. Therefore, the urgent need for effective cooperation, both international and national, is ever more paramount; developing country needs and the accelerating rate of natural resource depletion and degradation require a fresh look at existing relationships and programs, and new possibilities.

### **PROPOSAL**

The Forestry Advisors Group will commission a study which will cover the following issues and questions:

1. Based on a review of existing concepts, documentation and experience, determine the feasibility and process for developing an updated doctrine for cooperation in sustainable forestry development. The review should prominently include the several agreements emerging from UNCED, TFAP's operational principles and guidelines, and other similar initiatives and documents.
2. Analyze existing efforts and constraints in achieving coordination, cooperation and collaboration, particularly the TFAP, but also the outcome of UNCED and the work of related forestry initiatives under ITTO (Target 2000), GEF, CAPACITY 21 and National Environmental Action Plans (NEAPs), the G-7 initiative, and other forestry related activities which are suited to collaborative arrangements

among partners; this analysis will determine the strengths and weaknesses of these efforts, and identify areas of complementarity and possible areas of duplication.

3. Assess donor cooperation in other sectors with a view to identifying approaches that may be of interest to the forestry sector.
4. Examine the institutional and informal arrangements for collaboration within and between the programs and activities referred to above, with a focus on each of the three levels: national, regional and international.
5. Recommend how collaboration at the three levels can be improved, and how financial and technical resources of governmental and non-governmental organizations at these levels can be harnessed to achieve effective promotion of sustainable forestry at the national level.
6. Propose an appropriate role, *modus operandi*, and membership composition for the FA-Group, in particular the extent to which the Group - without losing its flexibility - can serve as a forum for promoting improved collaboration at the three levels.

## PROCESS

The client for this study is the FA-Group and, by extension, the agencies they represent. The Group will use the study to redefine its own role and function in the promotion of sustainable forestry on a global scale; and individual members will use it to strengthen the forestry programs of their own institutions in collaboration with their partners.

A task force has been appointed, drawn from the FA-Group, to finalize the terms of reference, select the study team, monitor progress, and provide regular advice and guidance to the team. The study will be conducted by consultants familiar with forest issues and existing programs, including TFAP.

The FA-Group considers consultation with developing country representatives of critical importance in suggesting improved ways and means to harmonize donor assistance to promote and establish sustainable forestry. Such participation will be a part of this study.

The process will require approximately six months, as follows:

1. Send this TOR to each member of the FA-Group with the request that each member commission a paper to address those elements of the TOR of greatest interest and relevance to their agency.
2. Using whatever process it chooses to complete its paper (NGO meetings, consultants, etc.) each donor institution would send its paper in English to the team leader at IIED by October 30.

3. The team leader at IIED would summarize and synthesize, in at least a detailed outline form, the most noteworthy and useful recommendations emerging from the several papers.
4. At the FA-Group meeting in Costa Rica the summary/synthesis would be discussed in detail by the Task Force (and presented to the FA-Group for information).
5. In Costa Rica the Task Force will instruct the team leader, other team members and IIED regarding the further steps necessary to complete the study, by March 1, 1993.

#### **Report Outline**

1. Objectives
2. Current Situation in Planning and Implementation Frameworks in the Forestry Sector.
  - (a) National level
  - (b) Regional level
  - (c) International level
  - (d) Approaches in other sectors
3. Analysis of Potential Improvements and Opportunities
4. Conclusions
5. Recommendations (including steps the Forestry Advisers Group should take).

There should be a sharp focus on Sections 3, 4 and 5, which will provide the substantial part of the report.

#### **Approach**

1. Desk Analysis of International Initiatives. The Team leader will be responsible for analysing the scope, objectives and interfaces between international initiatives, programmes, organisations and institutions, and will pay particular attention to the approaches used by the donors.

The team members will prepare a preliminary study of the region (Africa, Asia, Latin America) each will visit, to determine information gaps and countries to which visits are required, or where novel concepts and approaches are likely to be identified.

The work will be carried out under the guidance of the team leader by each member individually prior to meeting to compare and synthesize results.

The desk study will be supplemented by questionnaires, and by contact (telephone and visits) with those most directly concerned.

The desk study will cover:

- (a) Country-level planning and implementation frameworks;
  - (b) Regional and international coordination of initiatives and donor approaches to forestry conservation and development;
  - (c) needs and options for cooperation and coordination among donor agencies.
2. Country visits. As identified in desk studies.
  3. Synthesis and analysis of potential opportunities.

## APPENDIX 7.2 QUESTIONNAIRES

### 7.2.1 Country Level Questions

The study is principally concerned with, but not limited to, the following initiatives and programmes, and the institutions and organisations in the forestry sector who administer, implement and contribute to the initiatives and programmes, or who act independently in the delivery of aid.

#### International Initiatives

Tropical Forest Action Programme  
Environmental Action Plan  
World Conservation Strategy  
Global Environmental Facility  
Capacity 21 (UNDP)  
Target 2000 and other ITTA council decisions  
Sustainable Development Strategy  
Biodiversity Conservation Strategy  
Biodiversity Convention  
Climate Convention

#### Regional Programmes

Amazon Pact	CCAD
Mekong Committee	SADCC
CILSS	EGADD
Lutte contre la Desertification	

#### Institutions and Organisations

Bilateral donors	IUCN
World Bank	WWF
UNDP	ILO
UNEP	IIED
FAO	WRI
WFP	CARE
ITTO	UNESCO
AfDB	AsDB
IADB	Caribbean DB
UNSO	

1. National presence. Which of the above operate in the country? What other initiatives or programmes are being considered?

2. National impact. What is the impact of these different initiatives and programmes at the country level?
  - Which different ministries/offices/institutions or groups are counterpart to the above?
  - What links or organisational structures exist between them?
  - Do they cover entirely different fields, or provide different or complementary approaches in the same areas? Describe.
  - Is there competition or synergism or no interaction?
  - Are there areas which are not covered? Describe.
  - What additional inputs or approaches would be beneficial?
  - What are the effects of these initiatives and programmes? Are these quantifiable?
  - Is there sufficient national capacity to respond to the initiatives? Indicate gaps.
3. National expectations. What expectations do you have of the donor community in support of the national efforts, taking into consideration:
  - technical assistance and training
  - assistance to regional and south-south cooperation
  - central support (coordination, liaison, monitoring, information)
  - other critical areas where donors could assist
4. National coordination. What are the national structures and institutions concerned with coordination and management of development assistance? Are these different for different sectors and groups? What national procedures and conditions have to be fulfilled before application for international assistance can be made?
5. External funding. What do you think could be done, either by the country or by the donor community, to make funding more readily available and its use more effective?
6. Donor coordination. Is donor coordination and cooperation at the national level desirable? What mechanisms enabling donors to co-operate exist?
7. National-International linkages. What problems are encountered in linking international and national initiatives? Are additional structures needed? What additional assistance would be helpful?

### 7.2.2 Questions to be addressed to donors and international agencies

The study is principally concerned with, but not limited to, the following initiatives and programmes, and the institutions and organisations in the forestry sector who administer, implement and contribute to the initiatives and programmes, or who act independently in the delivery of aid.

#### International Initiatives

Tropical Forest Action Programme  
Environmental Action Plan  
World Conservation Strategy  
Global Environmental Facility  
Capacity 21 (UNDP)  
Target 2000 and other ITTA council decisions  
Sustainable Development Strategy  
Biodiversity Conservation Strategy  
Biodiversity Convention  
Climate Convention

#### Regional Programmes

Amazon Pact	CCAD
Mekong Committee	SADCC
CILSS	EGADD
Lutte contre la Desertification	

#### Institutions and Organisations

Bilateral donors	IUCN
World Bank	WWF
UNDP	ILO
UNEP	IIED
FAO	WRI
WFP	CARE
ITTO	UNESCO
AfDB	AsDB
IADB	Caribbean DB
UNSO	

1. What is the policy and the nature of the contribution of the agency to tropical forestry and conservation at the country level (technical, operational, financial, planning, environment, development, conservation)?

79

2. Is cooperation with other agencies and initiatives a specific part of the policy and approach? Is a combined approach normally considered? What is your experience of such liaison? How do you think such liaison might be improved?
3. Is specific funding available for identified initiatives, programmes or strategies?
4. How is the contribution delivered (directly through executing agencies, financial mechanisms, consultants, NGOs)?  
To whom is the contribution delivered (national counterpart institution: ministry, organization, institute, NGO)?
5. Do you see room for improving the efficiency and effectiveness of the collective efforts in forestry development and conservation: should some particular agency take the lead?
6. Are there effective examples of coordination/ collaboration in other sectors which you think would be relevant to forestry?
7. Are there particularly effective examples within the sector but external to your agency of which you are aware?
8. How in your opinion could the coordination/cooperation within and amongst the TFAP/NFAPs and related initiatives be improved?
9. How useful and effective are the existing formal and informal fora and coordination mechanisms (including COFO, Forestry Advisers Group, Commonwealth Forestry Association, TFAP-CU, ITTA-council, and others)
10. Are there any other views or opinions which you would like to express that are relevant to the study?

80



### APPENDIX 7.3 RESPONDENTS TO QUESTIONNAIRES

Mr. Seydou Bouare	Head of Mission, IUCN, Mali
Mr. Alan Bojanic	National Environmental Secretariat (SENMA), Bolivia
Ing. For. Jaime Cardoro Seinz	Director Nacional, Centro de Desarrollo Forestal, Bolivia
Dr. Roslan Ismail	Director Techno-Economic Division, Forest Research Institute Malaysia (FRIM), Malaysia
Dr. Nii Ashie Kotey and Mr James Mayers Mr Jose Luis Salas	IIED Incentives Project, Forestry Department, Ghana Ministry of Natural Resources, Energy and Mines, Natural Resource Planning Secretariat, Costa Rica
Mr. T. Lweno	Agricultural Director, National Environment Management Council, Tanzania
Mr. David Okali	NEST, Nigeria
Mr. Sylvestre Bangre Ouedraogo	Programme Officer, UNDP, Burkina Faso

### INTERNATIONAL NGOS

Ms. Jill Blockhus	The World Conservation Union (IUCN)
Mr. Marcus Colchester	Director, Forest Peoples Programme, World Rainforest Movement
Mr. T.H. Fox	World Resources Institute
Mr. Michael Gane	Independent consultant

### DEVELOPMENT BANKS

Mr. Kari j. Keipi	Senior Forester, Environment Protection Division, Inter-American Development Bank
Mr. Raymond W. Rowe	Forestry Advisor, Agriculture, Technology and Natural Resources Division, the World Bank

### DONOR AGENCIES

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Ms. Boegborn	Ministry of Foreign Affairs, DST/ML, The Netherlands
Mr. L.B. Ford	USAID
Mr. John Handiside	General Manager, Operations, Ministry of Forestry, New Zealand
Mr. L.A. Hansen	DANIDA
Mr. David Harcharik	International Forestry Staff, USDA Forest Service

Mr. Bill Howard	Forestry Adviser, Overseas Development Administration (ODA)
Mr. T. Johnson	USAID
Mr. Brian Kerr	Chief Project Officer, Food Production and Rural Development Division, Commonwealth Secretariat, UK
Mr. Katsuhiro Kotari	Special Assistant to the President, Japan International Cooperation Agency (JICA)
Mr. Willian Kriek	Directorate-General for Development, Commission of the European Communities
Dr. Christian Mersmann	GTZ
Ms. Julia Morris	International Forestry Staff, USDA Forest Service
Mr. Reidar Persson	Natural Resources Management Division, SIDA
Mr. A.M.J. Robbins	Regional Forestry Adviser, British Development Division in the Caribbean, Overseas Development Administration
Mr. Ralph Roberts	Director, Forestry and Conservation Sector, CIDA
Mr. Ralph Schmidt	UNDP

## APPENDIX 7.4: PERSONS INTERVIEWED BY MISSION

Mr. Kazuhiro Adahi	Control and Cooperation Division, Global Environment Department, Environment Agency, Government of Japan, Japan
Mr. J E K Aggrey-Orleans	Assistant Director, Economic Information and Market Intelligence, ITTO, Japan
Mr. Rafiq Ahman	Deputy Inspector General of Forests, Pakistan
Mr. Markku Aho	Forestry Adviser, FINNIDA
Mr. Toshiyuki Akagi	Senior Officer, International Forestry Cooperation Office, Forestry Agency, Japan
Mr. Satoshi Akahori	Wood Distribution Division, Forestry Agency, Japan
Mr. J C Anoh	Directeur General Assistant, SODEFOR, Cote d'Ivoire
Mr. Muhammad Ashraf	Forestry, Wildlife and Fisheries Department, Government of the Punjab, Pakistan
Ing. Jorge Barba	Director General, INEFAN, Ecuador
Mr. Jim Barnes	Friends of the Earth-US
Mr. Enrique Barrau	USAID, Costa Rica
Mr. Jan A. Bauer	Forestry & Environmental Advisor, Dutch Embassy, Development Cooperation Program, Costa Rica
Mr. Bill Beattie	Central Forestry Team, World Bank
Ms. Lilian Benitez	Area de Bosques, Fundacion Natura, Ecuador
Mr. Alan Bojanic Helbingen	Coordinador Ejecutivo, Sec. Nacional Medio Ambiente, Presidencia de la Republica, Bolivia
Dr. Antonio Brack	Programme Coordinator, UNDP, Secretaria Pro Tempore, Tradato de Coop. Amazonica, Ecuador
Mr. Neil Buhne	UNDP Assistant Resident Representative, Pakistan
Mr. Jeff Burley	Director, OFI
Mr. Rodrigo Calero	CIDESA, Ecuador
Ing. Jaime Cardozo	Director Nacional, Centro Desarrollo Forestal, Bolivia
Mr. C.M.R. Carneiro	Regional Adviser, LA/C, TFAP-CU, FAO
Mr. Gilberto Cintron	US-Fisheries and Wildlife, International Programme
Dr. Howard Clark	Regional Environmental Advisor, USAID, Ecuador
Mr. Marcus Colchester	World Rainforest Movement
Ms. Rachel Crossley	CFT, WB
Mr. Lukito Daryani	Forestry Adviser to the Minister of Forestry, Indonesia
Mr. Dan Deely	AID/R&D/ENR
Mr. Mark Dillenbeck	IUCN, US
Mr. Roedjai Djakaria	Ministry of Forestry, Indonesia
Prof. Dorm-Adzobu	Director Environment Protection Council, Ghana
Mr. Jim Douglas	Senior Adviser, Forestry and Natural Resources, Resident Staff in Indonesia, World Bank, Indonesia
Mr. Marc Dourojeannie	IDB
Mr. Walter Dunn	USFS International Forestry
Mr. Juan Manuel Durini	Fundacion Forestal, Ecuador

Mr. Gus Edgren	Assistant Administrator & Director, BPPE, UNDP Headquarters
Ms. Maria Augusta Espinoza	Coordinador Capacitacion, Proyecto CARE/SUBIR, Ecuador
Mr. Jean Paul Faguet	Assistant to Res. Rep., Banco Mundial, Bolivia
Mr. Loren Ford	AID/R&D/ENR
Mr. Tom Fox	WRI
Mr. John Francois	Chief Conservator of Forests, Ghana
Mr. M Arshad Gill	Projects Officer, IUCN, Pakistan
Mr. Luis Gomez-Echeverri	Manager, ENR/PDSD/BPPE, UNDP Headquarters
Mr. H Haili	Senior Economist, SCPR Department, Cote d'Ivoire
Mr. Miyata Haruo	Deputy Director, Environmental Cooperation Division, Global Environment Department, Environment Agency, Japan
Mr. Dave Heesen	Rural Development Officer, USAID, Costa Rica
Mr. Hidehiro Hosaka	Assistant Director, Ministry of Foreign Affairs, Economic Affairs Bureau, Development Economics Division, Japan
Mr. Bill Howard	Forestry Adviser, ODA
Mr. Esa Hurtig	Programme Officer, FINNIDA
Mr. Shuichi Ikeda	Planning Division, Forestry and Fisheries Development Cooperation Department, JICA, Japan
Mr. Haruo Ishii	Assistant Director, Economic Affairs Division, United Nations Bureau, Ministry of Foreign Affairs, Japan
Mr. Takeichi Ishikawa	Projects Manager, ITTO, Japan
Mr. Abu Bakar Jaafar	Director-General, Department of Environment, Ministry of Science, Technology and the Environment, Malaysia
Mr. Norman Jones	CFT, WB
Mr. Charles Kenny Jordan	Representacion de la FAO, Ecuador
Ms. Christina Juchricwicz	Programme Officer, UNDP, Indonesia
Mr. Aimo I Juhola	Forestry Specialist, Agriculture Department, Asian Development Bank
Mr. Angoran Yao Kan	Direction de Programmation et du Budget, Ministere de l'Agriculture et des Ressources Animales, Cote d'Ivoire
Mr. Kari Keipi	Senior Forester, IDB
Mr. Jan Kemp	UNDP Resident Representative, Indonesia
Mr. Basem Khader	Executive Coordinator, GEF/ENR, UNDP Headquarters
Mr. Katsuhiko Kotari	Special Adviser to the President, JICA, Japan
Dr. Kouakou	Direction de Programmation et du Budget, Ministere de l'Agriculture et des Ressources Animales, Cote d'Ivoire
Mr. M Kpolo	Secetaire General, ANRA, Cote d'Ivoire

Mr. Miwako Kurosaka	Senior Associate, World Resources Institute, Tokyo
Mr. J.P. Lanly	Liaison Office, Japan
Mr. T. Lweno	Director, FOR, FAO
	Agricultural Director, National Environmental
	Management Council, Natural Resources Division,
	Tanzania
Mr. Doug MacKinnon	ASTAG, WB
Mr. Bill Magrath	CFT, WB
Mr. Fausto Maldonado	Environmental Officer, USAID, Ecuador
Mr. Takashi Matsumura	Deputy Director, Control and Cooperation Division,
	Environment Agency, Japan
Dr. Noboru Matsushima	Japan Wildlife Research Centre, Japan
Mr. Charles McGuire	CFT, WB
Mr. JJ Meijer	Assistant FAO Representative, Ghana
Mr. Seiichi Mishima	Director, International Forestry Cooperation Office,
	Planning Division, Forestry Agency, Ministry of
	Agriculture, Forestry and Fisheries, Japan
Mr. M. R. de Montalembert	Director, FON, FAO
Ing. Fernando Montenegro	Fundacion Forestal, Ecuador
Mr. Franklin Moore	EPA
Ms. Julia Morris	USFS-International Forestry
Mr. Pauli Mustonen	Programme Officer, FINNIDA
Mr. Muttiah	FODO, FAO
Dr. F O Ndukave	Economist, SCPR Department, African Development
	Bank, Cote d'Ivoire
Mr. Yasuhiko Nisawa	Managing Director, Forestry and Fisheries,
	Development Cooperation Department, JICA, Japan
Dr. Salleh Mohd. Nor	Director-General, Forest Research Institute Malaysia,
	Malaysia
Mr. A. Oumar	Forestry Officer, Environment and Social Policy
	Division, African Development Bank, Cote d'Ivoire
Mr. Joost Paardekooper	Oficial de Programas, Representacion de la FAO,
	Ecuador
Arq. Raul Paredes Ruiz	Director General, Decentralized Plans, National
	Development Council, Ecuador
Mr. Matt Perl	WWF-US
Mr. Carlos Quintela	Director Ejecutivo, Fondo Nac. del Medio Ambiente,
	Ecuador
Mr. M A Raimadoya	Assistant Programme Officer, UNDP, Indonesia
Ms. Virginia Ravndal	Principal Technical Adviser, Biodiversity, UNDP
	Headquarters
Mr. Simon Rietbergen	AFTAG, WB
Mr. Guillermo Rioja Ballivian	Director, Programa Bolivia, Conservacion
	Internacional, Bolivia
Mr. Heikki Rissanen	Forestry Adviser, FINNIDA
Dr. Luis A. Rodrigo Gainza	Director Ejecutivo, Liga de Defensa del Medio
	Ambiente, Ecuador

Ing. Jorge Rodriguez Q.	Coordinador Regional, Plan de Accion Forestal para Centro-America (PAF-CA), Costa Rica
Mr. Paul Romeijn	Romeijn & Assoc., Forestry Information, NL, Ecuador
Mrs. Valerie Sackey	Chair, Forestry Commission, Ghana
Ing. Jose Luis Salas	Coordinador Nacional, Plan de Accion Forestal de Costa Rica, Costa Rica
Ing. Jaun Salinas	National Project Coordinator, MAG/GTZ/PROFORS, Ecuador
Dr. Roberto Samanez	ATP/FAO/SPT/TCA, Secretaria Pro Tempore, Tratado de Cooperacion Amazonica, Ecuador
Ir. T Sarijanto	Assistant to the Minister on Manpower, Ministry of Forestry, Indonesia
Mr. Hiroshi Sayama	Planning Coordinator, Planning and Coordination Division, Nature Conservation Bureau, Environment Agency, Japan
Mr. Jeff Sayer	Environment, WB
Mr. Ralph Schmidt	Senior Programme Adviser, ENR/PDSD/BPPE, UNDP Headquarters
Mr. K.H. Schmincke	Director, FOP, FAO
Dr. Eberhard Klinge v Schultz	MAG/GTZ/PROFORS, Ecuador
Ing. Ingacio Schreckinger	Subsecretario Medio Ambiente, Min. Energia y Minas, Ecuador
Mr. Tatsuro Sekine	Official, Control and Cooperation Division, Global Environment Department, Environment Agency, Japan
Mr. Rikio Shinohara	Administrative Assistant, Management Services, ITTO, Japan
Mr. Nigel Sizer	WRI
Ir. Bambang Soekartiko	Director, Bureau of International Cooperation and Investment, Ministry of Forestry, Indonesia
Dr. Benni H Sormin	Head, Division of Multilateral Cooperation, Forestry Centre, Indonesia
Mr. D C Soro	Secetaire General, SODEFOR, Cote d'Ivoire
Mr. Yamani Soro	Direction Generale des Eaux et Forets, Direction de Production et des Industries Forestieres, Ministere de l'Agriculture et des Ressources Animales, Cote d'Ivoire
Mr. John Spears	CGIAR
Mr. Hans C von Sponeck	UNDP Resident Representative, Pakistan
Mr. David Steeds	Acting Director, Agriculture Division, WB
Mr. Francis Sullivan	WWF-UK
Mr. M Tall	Economist, World Bank, Cote d'Ivoire
Ing. Mauricio Teran	Director, Proyecto ECOFOREST 2000, Ecuador
Ms. Sarah L. Timpson	Director, PDSD, UNDP Headquarters
Mr. Douglas Tinsler	Assistant Mission Director, USAID, Costa Rica
Mr. Sergio Torres	Programme Officer, UNDP, Bolivia

Mr. Toshiaki Tsuchiya	Director of Coordination, Japan Overseas Forestry Consultants Association, Japan
Dr. L I Umeh	Senior Forestry Expert, South Region, African Development Bank, Cote d'Ivoire
Mr. Mitsuo Usuko	Coordinator for International Affairs, Nature Conservation Bureau, The Environment Agency, Japan
Mr. Charles Vanpraet	Chief, Agriculture, Irrigation, Forestry and Fisheries Unit, Mekong Secretariat, Thailand
Ing. Enrique Vasques	Sub-Director Nacional, Centro Desarrollo Forestal, Bolivia
Dr. Udo Vollmer	Jefe de Mision, GTZ, Ecuador
Mr. Horst Wagner	Principal Forestry Specialist, CFT, WB
Mr. Jonathan Weiner	Natural Resources and Environment/ Council of Economic Advisers/ White House
Mr. I Westergren	Senior Forestry Expert, North Region, African Development Bank, Cote d'Ivoire
Mr. Michael Yates	Environmental Officer, USAID, Bolivia
Mr. R.P. Yonazi	TFAP Coordinator, Forestry and Beekeeping Division, Ministry of Tourism, Natural Resources and Environment, Tanzania
Mr. Tokuhiya Yoshida	Senior Technical Officer, Global Environment Department, Environment Agency of Japan, Japan

## **APPENDIX 7.5**

### **PRESENT ROLE AND MANDATE OF TFAP FORESTRY ADVISERS' GROUP**

#### **Purpose**

The purpose of the Group is to improve the availability and use of human and financial resources:

1. To assist with the conservation and sustainable development of tropical forest ecosystems, moist and arid;
2. to promote the restoration of trees and forests wherever appropriate on deforested and degraded lands, in the tropics;
3. to restore/maintain a stable global environment;

for the benefit of the people and the economy of developing countries.

#### **Role**

The TFAP Forestry Advisers Group is an informal assemblage of forestry advisers who represent bilateral and multilateral development assistance agencies, participating national governments and non-governmental organisations. Their aim is to achieve greater coordination, cooperation and collaboration, among donor agencies, developing countries and other concerned organisations.

The Group promotes increased international support to the implementation of the TFAP process within the framework of the decisions and recommendations of the Committee on Forest Development in the Tropics (CFDT) and the Committee on Forestry (COFO). The Group may raise important issues for the attention of these two bodies and may report to them on its activities.

#### **Mandate**

To hold periodic meetings to exchange information, coordinate and harmonise efforts in support of TFAP implementation.

To promote international participation in multi-donor missions for the preparation and implementation of national TFAPs.

To participate in monitoring the TFAP process and provide technical advice on the process itself and on how to improve it.

To promote and review the results of global studies and position papers on tropical forest ecosystem degradation and related issues.



To promote the organisation of high level international events on forestry and related issues and to give advice and technical guidance to such events.

To maintain collaboration and close communication with FAO's TFAP Coordination Unit (TFAP-CU), the Committee on Forestry Development in the Tropics (CFDT) and the Committee on Forestry (COFO).

To serve as a vehicle for linking the TFAP to related international initiatives which deal with the improved management and conservation of tropical forest resources and the environment.

To facilitate communication among a broad spectrum of groups/ organisations/ institutions interested in TFAP, including the NGO community and others in the private sector.

To promote better understanding among multilateral and bilateral donor agencies about the degradation of tropical forest ecosystems and how it affects the population and environment of developing countries, to analyse the causes of degradation and possible solutions and to mobilise action to reverse the process.

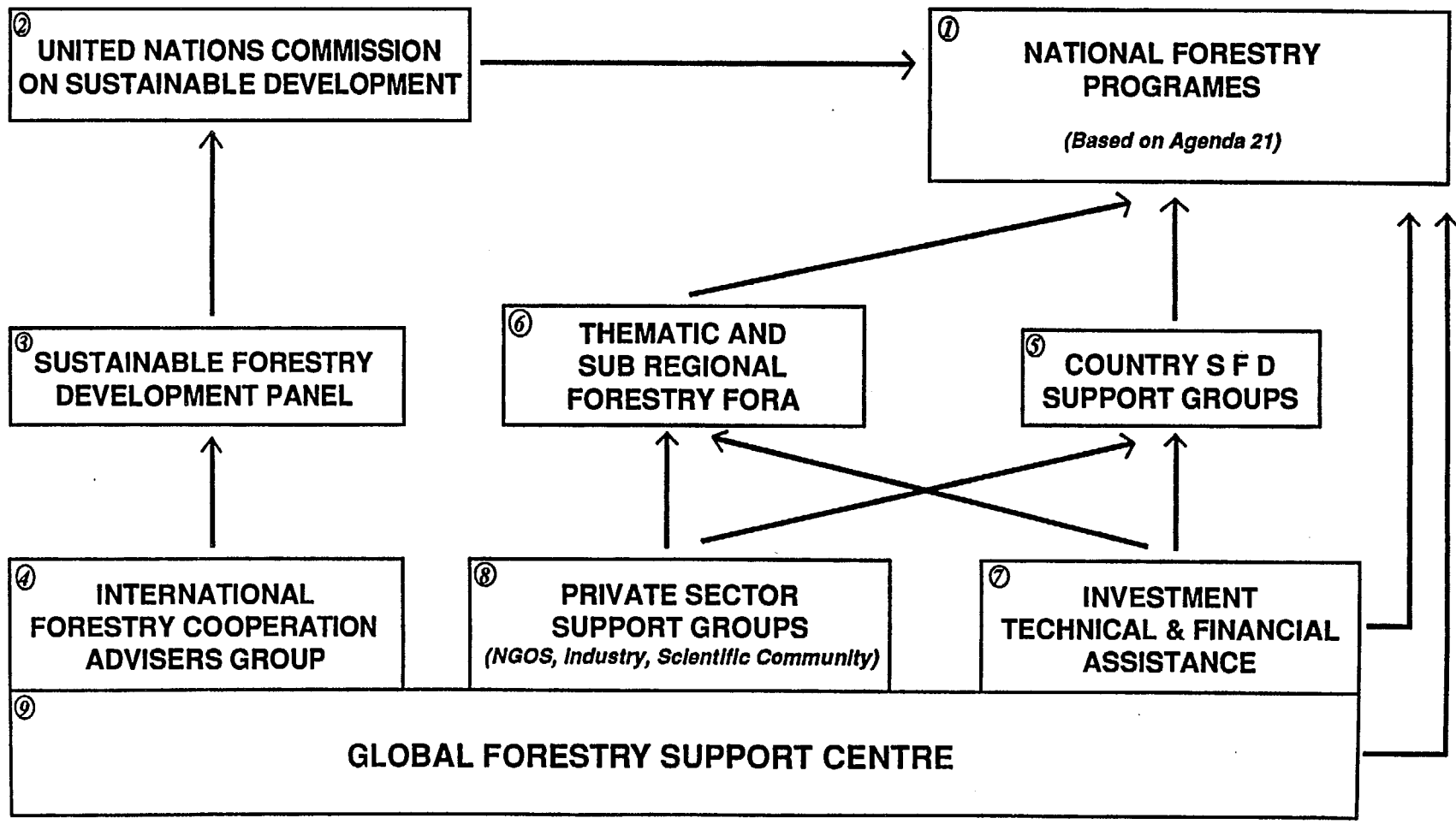
To work towards the increased flow of funding for sustainable forest development and conservation from internal and external sources and to harmonise activities so as to optimise the use of available funds.

To develop contacts with relevant government and non-government organisations of donor countries and thereby to promote actions and effective cooperation aimed at the sustainable development of tropical forest ecosystems.

To develop plans of action to alert developing country governments, at the highest political and official levels, to the degradation of tropical forest ecosystems; to opportunities for reforestation and forest management programmes; to the environmental and economic impacts involved and to secure increased priority to forestry in national development plans.

To promote better understanding among the general public in both donor and recipient tropical countries of the problems of deforestation and catalyse corrective measures.

GLOBAL FORESTRY COOPERATION



96

### General remarks

- a. National governments decide on the development, sustainable use and conservation of their forests.
- b. International cooperation in forestry has one single objective: support to national governments for the preparation and successful implementation of the National Forestry Programme (NFP).
- c. Arrows in the chart represent flows of support. More arrows could be drawn to indicate other forms of support.
- d. If all partners in forestry cooperation agree in principle to work in line with the support flow chart, no formal structures to execute UNCED's forestry Agenda 21 are required and more effective use can be made of limited funds available.
- e. Wherever applicable NFP's are linked to National Conservation Strategies (NCS) and fill in the forestry component of National Environmental Action Plans (NEAP).

### Clarifications

Box 1: National governments retain sovereign right to manage their own forests and to decide on from whom they may wish to seek external aid. All action is generated and coordinated by the national government. For the preparation and implementation of the NFP, the national government will normally establish a high-level, broadbased Steering Committee (SC) and a National Coordination Unit (NCU). International support could be solicited from:

- the UNCSO, providing policy guidance (box 2)
- a country SFD Support Group, that harmonises the efforts of all cooperating agencies and organisations (box 5)
- a Subregional Forestry Panel, that seeks and agrees on joint approaches to common problems and opportunities (box 6)
- all aid agencies, bilaterally (box 7)
- the private sector (box 8)
- the Global Forestry Support Centre (box 9)

Box 2: The UNCSO is recognised as the highest political authority in international development cooperation, also for the forestry sector. The UNCSO will receive advice from many quarters, among which:

- The World Commission on Forestry and Sustainable Development
- Earth Council
- Business Council

Box 3: A Sustainable Forestry Development Panel (SFD Panel), assisting the UNCSO in its work, composed of high level political and/or technical representatives of the South, North and the non-governmental, private sector (e.g. three representatives from each

background) and meeting maybe twice per year, could discuss, agree and advise the UNCSD on:

- progress being achieved in global forest conservation and management
- problem areas that deserve the UNCSD's special attention
- enhancing funding for NFP's and/or subregional projects or programmes
- priorities

The SFD Panel could have rotating membership.

**Box 4:** The renewed, reformed TFAP Forestry Advisers Group (possible to be renamed Forestry Cooperation Advisers Group) could among other tasks, assume responsibility for servicing the SFD Panel by commissioning studies on selected subjects and progress reports, as requested and for further analysis by the SFD Panel.

**Box 5:** At the country level, a SFD Support Group possibly led by the World Bank and/or Regional Development Bank, facilitated by UNDP, and composed of all involved aid agencies and organizations, could prepare a harmonised aid package for the National Government, with TA projects complementing the Bank's investment programme.

**Box 6:** Subregional Forestry Panels could address subregional common problems that are difficult to resolve at the national level. Similarly such panels could develop joint policies for complex issues such as poverty alleviation, land tenure, pricing and taxation. Also regional forestry advisers groups may be set up to enhance horizontal cooperation and generate political and financial support for sustainable forestry and development.

**Box 7:** Bilateral and multilateral agencies together with the international organizations responsible for the development and conservation of forests (FAO, ITTO, IUCN, UNDP, UNEP, UNESCO, UNIDO and others) should harmonise their country programmes.

**Box 8:** The private sector (NGOs, industries, scientific communities) should be encouraged to develop initiatives in support of subregional and country efforts for managing and conserving forests, not only in planning but also in executing projects and programmes.

**Box 9:** A (permanent) Global Forestry Support Centre, independent but administratively linked to FAO or UNDP, to do the day-to-day support work, that developing countries consider indispensable for quick assistance, progress and impact.

This GFSC could start working as the Secretariat for the reformed Forestry Advisers Group and expand according to existing or arising assistance needs, such as:

- expeditious materialisation of promised or pledged financial and technical assistance to NFP and subregional development and conservation approaches
- priority action to address urgent problems or emergency situations
- harmonization of country programmes of the international organisations
- liaison among all partners in support of the preparation and implementation of NFP

- monitoring of global progress and impact of international forestry cooperation
- collecting, processing and disseminating information of importance to decision makers, partners, public and media
- introduction, guidance and monitoring of a communication strategy for the forestry sector
- focal point and broker for participating NGOs
- advising on allocation of GEF and Capacity 21 funds
- providing support to UNDP Resident Representatives seeking information, advice or assistance in their efforts to facilitate collaboration of partners at the country level.

93